RISK ASSESSMENT DASHBOARD

(RAD) TRAINING

Please dial in to join us.

Commercial 1-301-909-7349

OR

DSN 312-434-7349

Access Code: 35200666#

Help and Support

PCOLS Help Desk

Phone: 800-376-7783, com 269-961-7307, or DSN 661-7307

Email: dlacontactcenter@dla.mil

Operation Hours: 24x7

PCOLS DAU Continuous Learning Module CLG005

http://icatalog.dau.mil/onlinecatalog/courses.aspx?crs_id=1704

Contains: Role-Based Training for PCOLS

PCOLS Website at DAU Acquisition Community Connection (ACC)

http://acc.dau.mil/PCOLS

Contains: Site Deployment Packet, Frequently Asked Questions (FAQs)

System User Manuals

Rapids Self Service and milConnect for Address and Email updates

RAD Overview

Risk Assessment Dashboard Application

Goals of RAD

- Address the policy compliance and internal control issues identified by:
  - Purchase Card Policy Office(PCPO)
  - Government Accountability Office (GAO)
  - DoD Inspector General (DoDIG)

PCOLS Applications

- Complete a suite of Purchase Card On-line System (PCOLS) applications to supplement internal control capabilities
  - Enterprise Monitoring and Management of Accounts (EMMA)
  - Authorization, Issuance and Maintenance (AIM)
  - Data Mining (DM)
  - ***Risk Assessment Dashboard Application (RAD)***
  - PCOLS Reporting

Risk Assessment Dashboard

What is Risk Assessment?

- Risk Assessment Dashboard…
  - Allows users to analyze risk and report on the “health” of an organization’s purchase card program
  - RA Components
    - ***Controls***
    - ***Dashboards***
    - ***Quarterly Reports***

Risk Assessment Overview

- User Hierarchy
- Logon
- RAD Components
  - Dashboards
  - Controls
  - Quarterly Reports

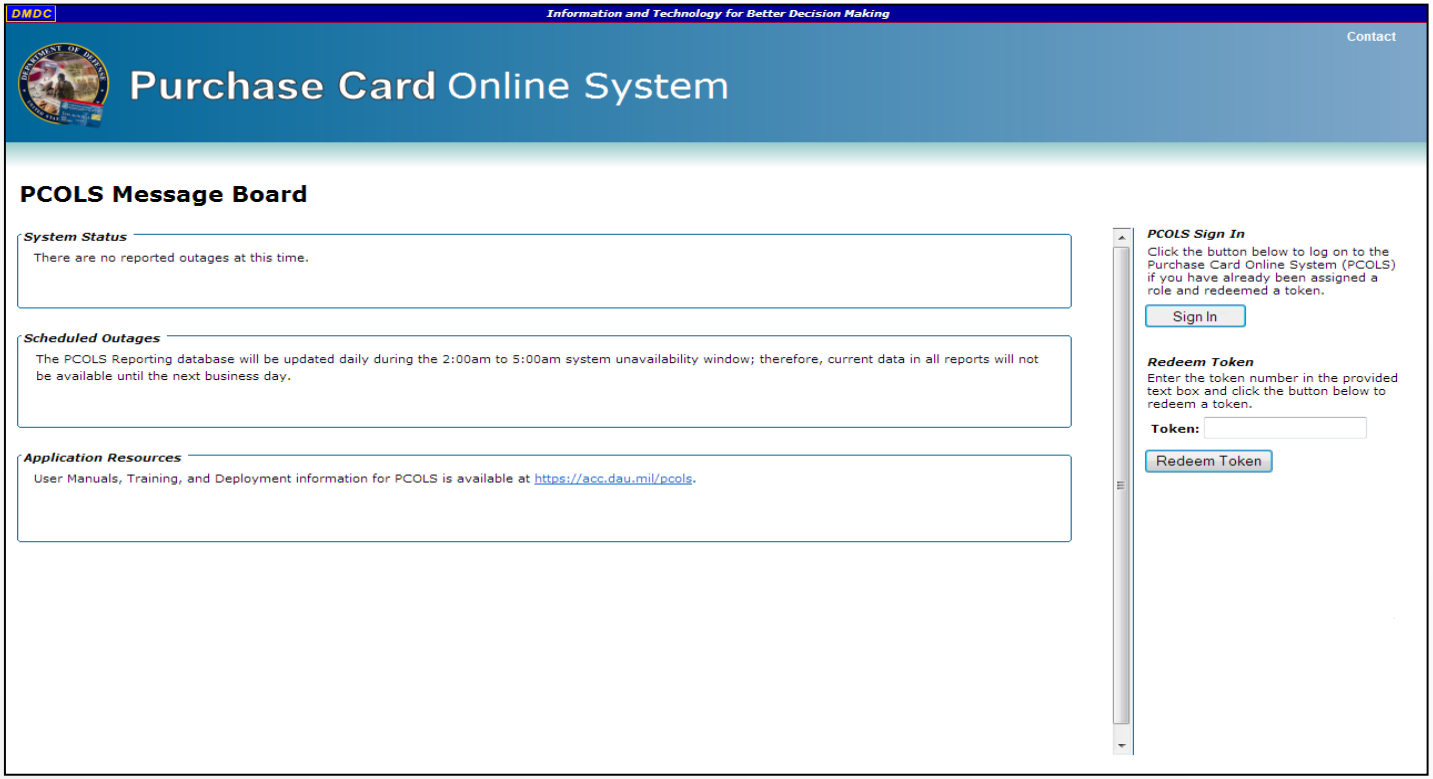
User Hierarchy

- Level 1 - DoD PCPO
- Level 2 - Acquisition Executive Agents
- Level 3 - HCA Agents
- Level 4 - A/OPCs
- Level 5 - A/BOs

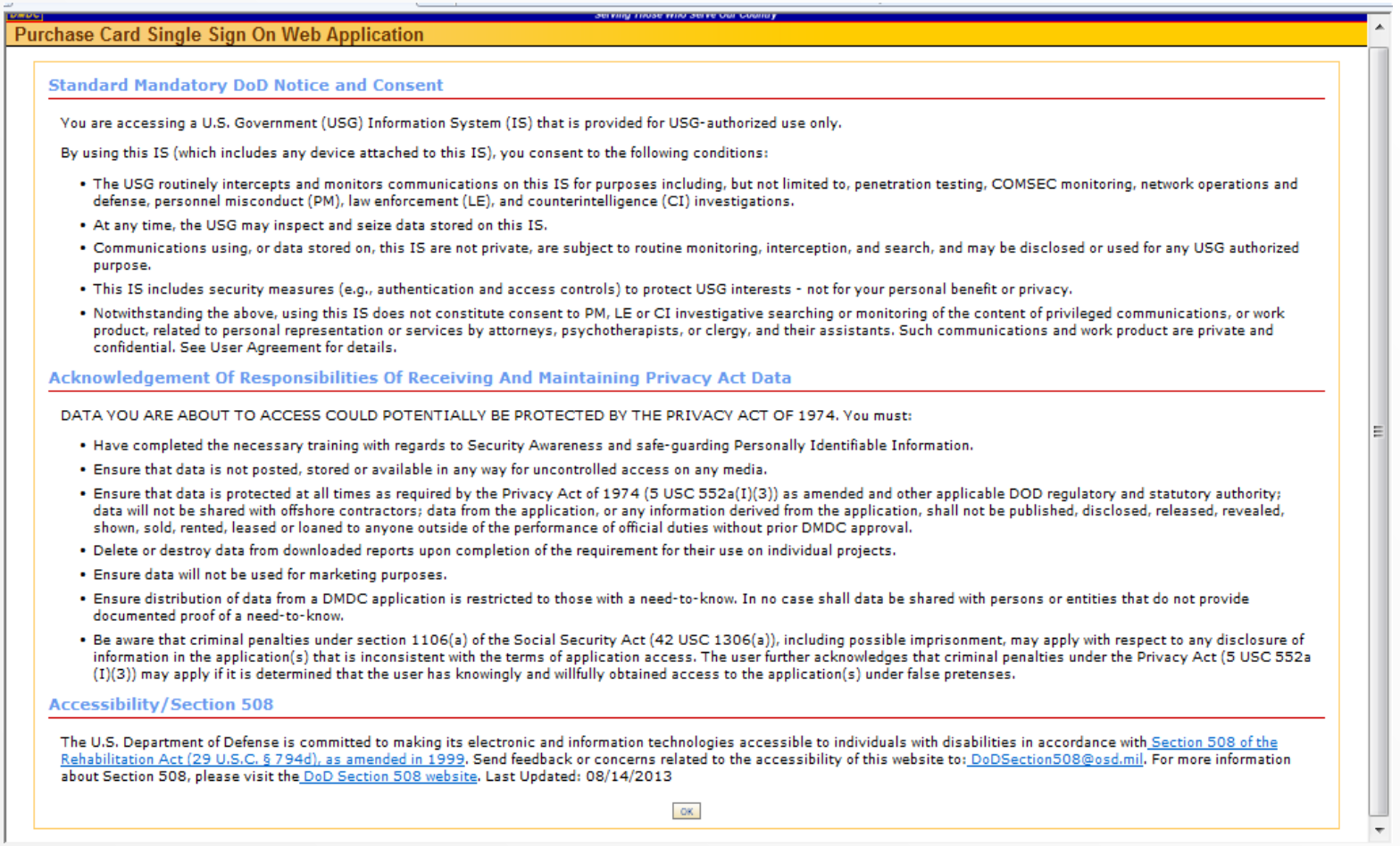
Logging in

Ogle web site: o to the PCOLS Single Sign-On (SSO)

https://www.dmdc.osd.mil/appj/pcols-web/


DMDC
Information and Technology for Better Decision Making
Contact
Purchase Card Online System
PCOLS Message Board
System Status
There are no reported outages at this time.
Scheduled Outages
The PCOLS Reporting database will be updated daily during the 2:00am to 5:00am system unavailability window; therefore, current data in all reports will not be available until the next business day.
Application Resources
User Manuals, Training, and Deployment information for PCOLS is available at https://acc.dau.mil/pcols.
PCOLS Sign In
Click the button below to log on to the Purchase Card Online System (PCOLS) if you have already been assigned a role and redeemed a token.
Sign In
Redeem Token
Enter the token number in the provided text box and click the button below to redeem a token.
Token:
Redeem Token

Notice and Consent



Purchase Card Single Sign On Web Application

Standard Mandatory DoD Notice and Consent

You are accessing a U.S. Government (USG) Information System (IS) that is provided for USG-authorized use only.

By using this IS (which includes any device attached to this IS), you consent to the following conditions:

- The USG routinely intercepts and monitors communications on this IS for purposes including, but not limited to, penetration testing, COMSEC monitoring, network operations and defense, personnel misconduct (PM), law enforcement (LE), and counterintelligence (CI) investigations.
- At any time, the USG may inspect and seize data stored on this IS.
- Communications using, or data stored on, this IS are not private, are subject to routine monitoring, interception, and search, and may be disclosed or used for any USG authorized purpose.
- This IS includes security measures (e.g., authentication and access controls) to protect USG interests - not for your personal benefit or privacy.
- Notwithstanding the above, using this IS does not constitute consent to PM, LE or CI investigative searching or monitoring of the content of privileged communications, or work product, related to personal representation or services by attorneys, psychotherapists, or clergy, and their assistants. Such communications and work product are private and confidential. See User Agreement for details.

Acknowledgement Of Responsibilities Of Receiving And Maintaining Privacy Act Data

DATA YOU ARE ABOUT TO ACCESS COULD POTENTIALLY BE PROTECTED BY THE PRIVACY ACT OF 1974. You must:

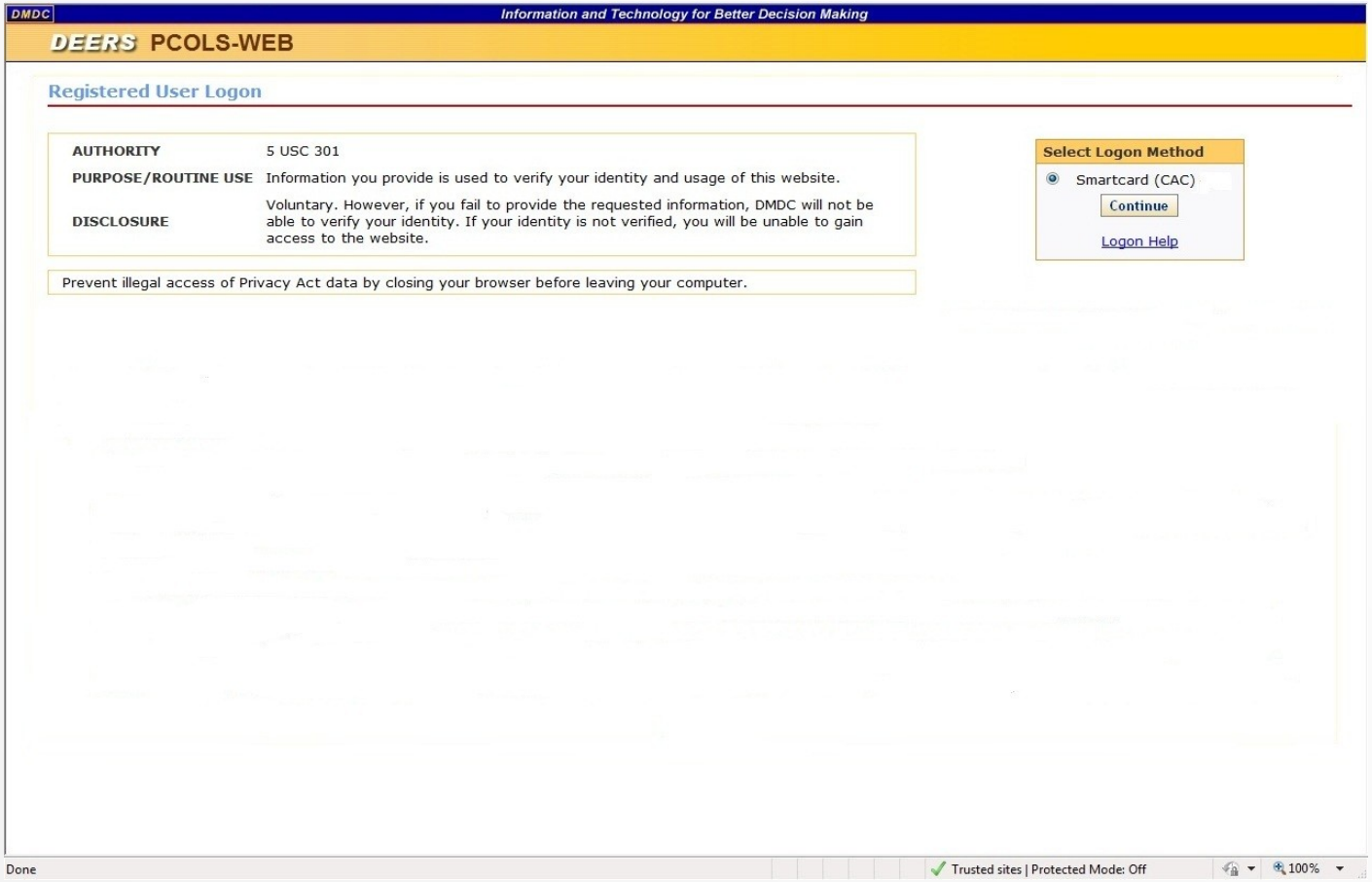
- Have completed the necessary training with regards to Security Awareness and safe-guarding Personally Identifiable Information.
- Ensure that data is not posted, stored or available in any way for uncontrolled access on any media.
- Ensure that data is protected at all times as required by the Privacy Act of 1974 (5 USC 552a(I)(3)) as amended and other applicable DOD regulatory and statutory authority; data will not be shared with offshore contractors; data from the application, or any information derived from the application, shall not be published, disclosed, released, revealed, shown, sold, rented, leased or loaned to anyone outside of the performance of official duties without prior DMDC approval.
- Delete or destroy data from downloaded reports upon completion of the requirement for their use on individual projects.
- Ensure data will not be used for marketing purposes.
- Ensure distribution of data from a DMDC application is restricted to those with a need-to-know. In no case shall data be shared with persons or entities that do not provide documented proof of a need-to-know.
- Be aware that criminal penalties under section 1106(a) of the Social Security Act (42 USC 1306(a)), including possible imprisonment, may apply with respect to any disclosure of information in the application(s) that is inconsistent with the terms of application access. The user further acknowledges that criminal penalties under the Privacy Act (5 USC 552a (I)(3)) may apply if it is determined that the user has knowingly and willfully obtained access to the application(s) under false pretenses.

Accessibility/Section 508

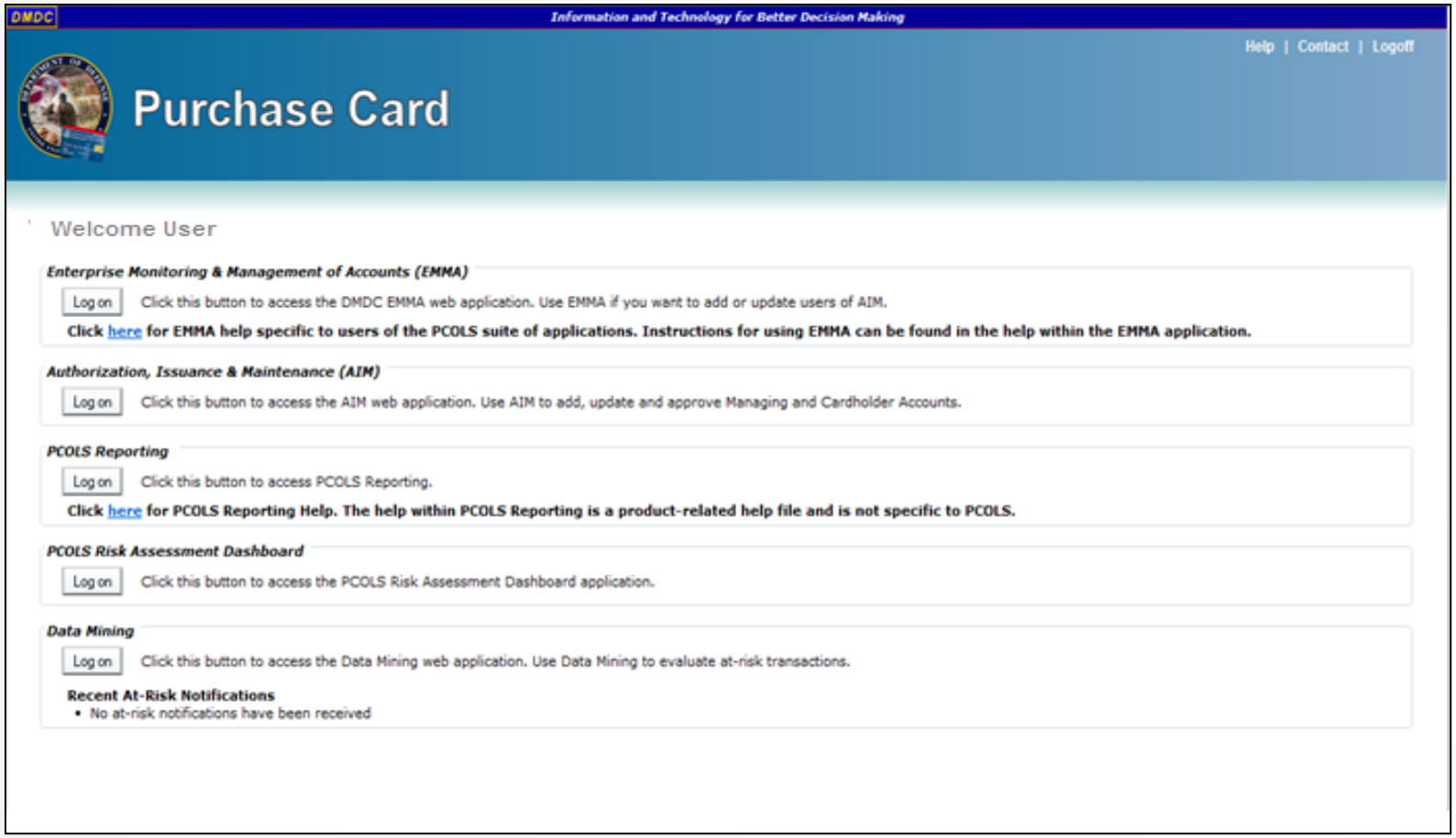
The U.S. Department of Defense is committed to making its electronic and information technologies accessible to individuals with disabilities in accordance with Section 508 of the Rehabilitation Act (29 U.S.C. § 794d), as amended in 1999. Send feedback or concerns related to the accessibility of this website to: DoDSection508@osd.mil. For more information about Section 508, please visit the DoD Section 508 website. Last Updated: 08/14/2013

OK

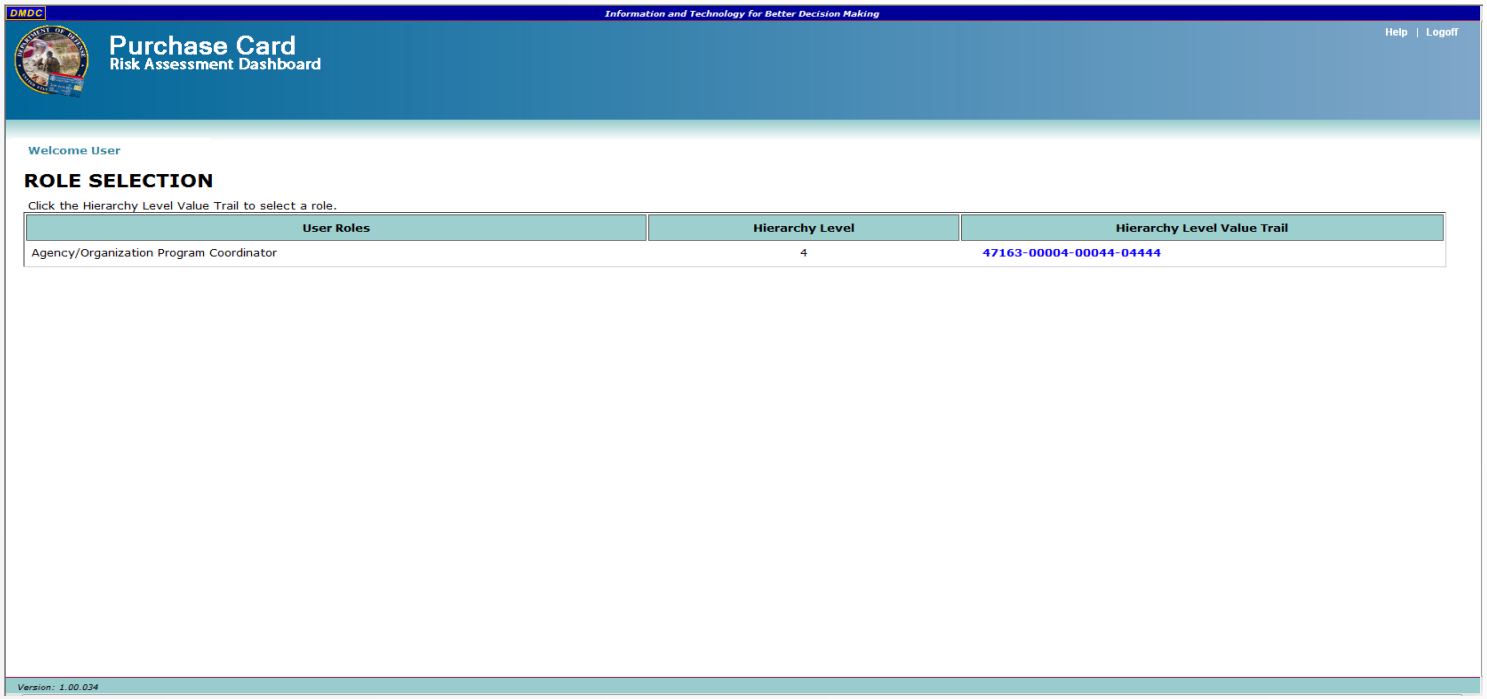
Registered User Logon


DMDC
Information and Technology for Better Decision Making
DEERS PCOLS-WEB
Registered User Logon
AUTHORITY
5 USC 301
PURPOSE/ROUTINE USE
Information you provide is used to verify your identity and usage of this website.
DISCLOSURE
Voluntary. However, if you fail to provide the requested information, DMDC will not be able to verify your identity. If your identity is not verified, you will be unable to gain access to the website.
Prevent illegal access of Privacy Act data by closing your browser before leaving your computer.
Select Logon Method
Smartcard (CAC)
Continue
Logon Help
Done
Trusted sites | Protected Mode: Off
100%

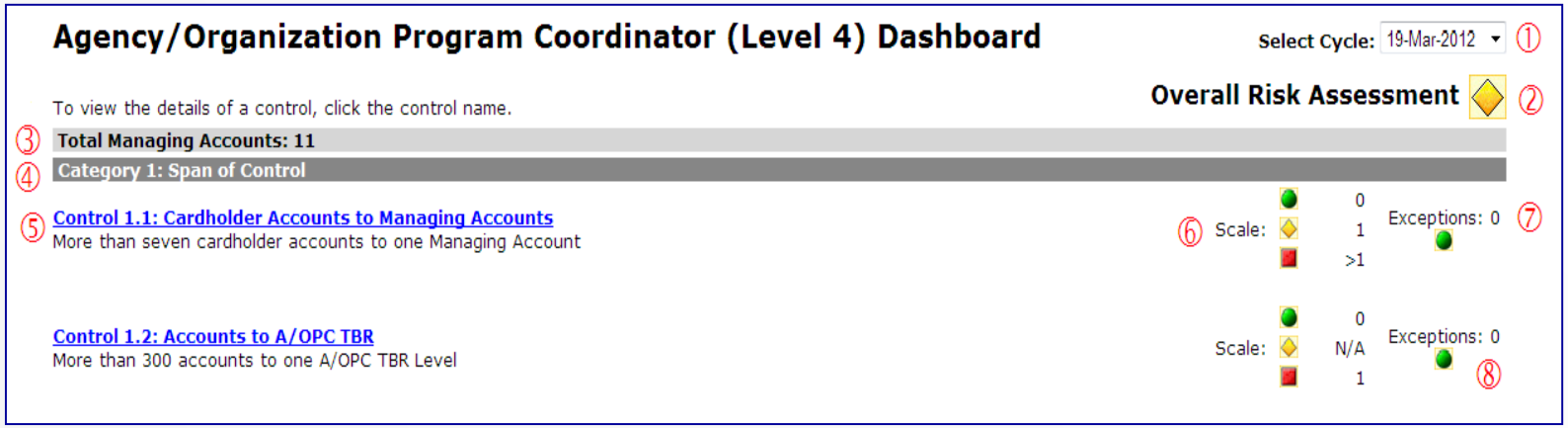
Select Application


DMDC
Information and Technology for Better Decision Making
Help | Contact | Logoff
Purchase Card
Welcome User
Enterprise Monitoring & Management of Accounts (EMMA)
Log on
Click this button to access the DMDC EMMA web application. Use EMMA if you want to add or update users of AIM.
Click here for EMMA help specific to users of the PCOLS suite of applications. Instructions for using EMMA can be found in the help within the EMMA application.
Authorization, Issuance & Maintenance (AIM)
Log on
Click this button to access the AIM web application. Use AIM to add, update and approve Managing and Cardholder Accounts.
PCOLS Reporting
Log on
Click this button to access PCOLS Reporting.
Click here for PCOLS Reporting Help. The help within PCOLS Reporting is a product-related help file and is not specific to PCOLS.
PCOLS Risk Assessment Dashboard
Log on
Click this button to access the PCOLS Risk Assessment Dashboard application.
Data Mining
Log on
Click this button to access the Data Mining web application. Use Data Mining to evaluate at-risk transactions.
Recent At-Risk Notifications
• No at-risk notifications have been received

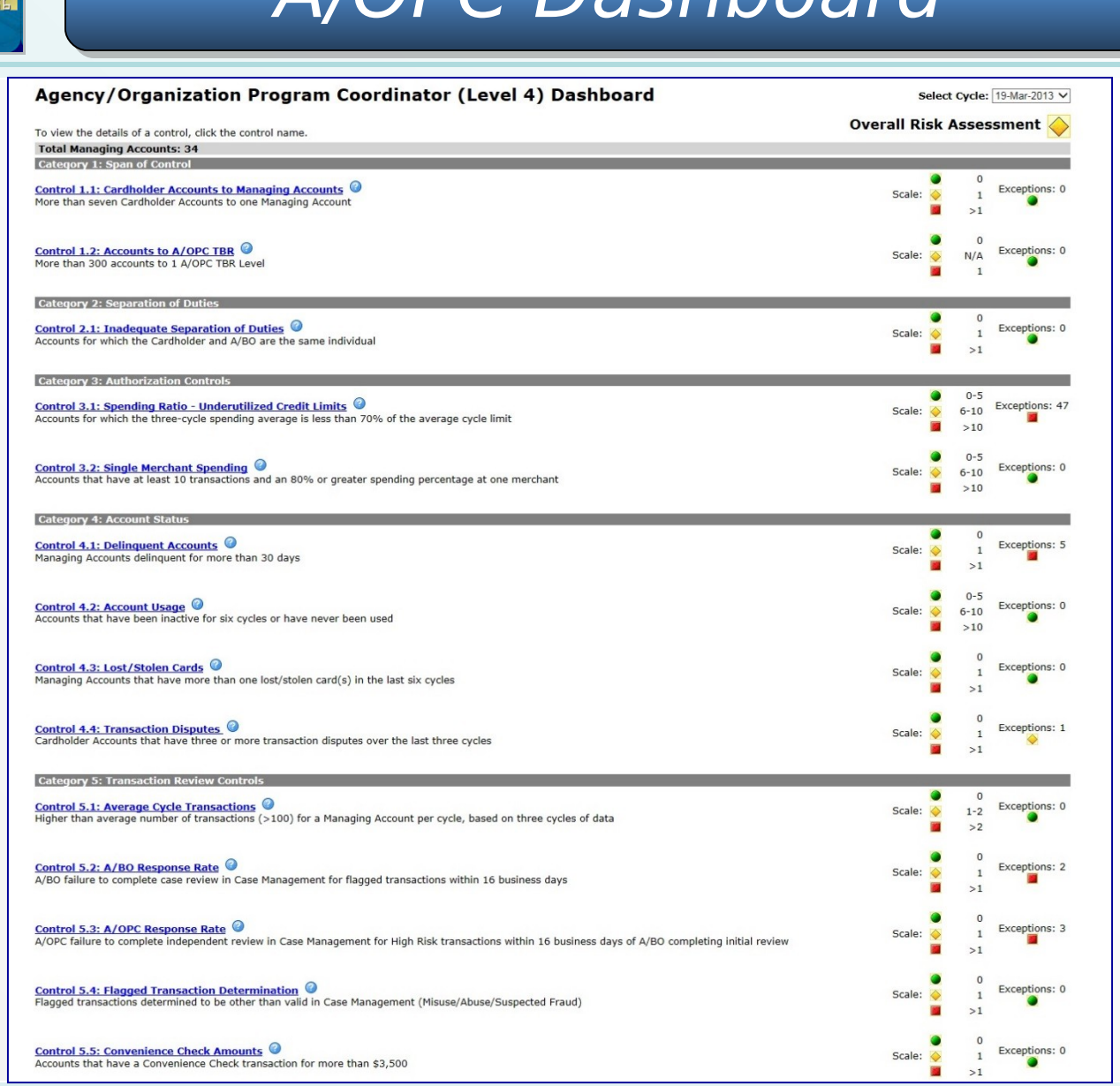
User Role Selection



Dashboard Elements


Agency/Organization Program Coordinator (Level 4) Dashboard
Select Cycle: 19-Mar-2012
①
Overall Risk Assessment
②
To view the details of a control, click the control name.
③ Total Managing Accounts: 11
④ Category 1: Span of Control
⑤ Control 1.1: Cardholder Accounts to Managing Accounts
More than seven cardholder accounts to one Managing Account
⑥ Scale: 0 1 >1
Exceptions: 0
⑦
Control 1.2: Accounts to A/OPC TBR
More than 300 accounts to one A/OPC TBR Level
Scale: 0 N/A 1
Exceptions: 0
⑧

A/OPC Dashboard



Agency/Organization Program Coordinator (Level 4) Dashboard

Select Cycle: 19-Mar-2013

To view the details of a control, click the control name.

Overall Risk Assessment

Total Managing Accounts: 34

Category 1: Span of Control			
Control 1.1: Cardholder Accounts to Managing Accounts More than seven Cardholder Accounts to one Managing Account	Scale:	0 1 >1	Exceptions: 0
Control 1.2: Accounts to A/OPC TBR More than 300 accounts to 1 A/OPC TBR Level	Scale:	0 N/A 1	Exceptions: 0
Category 2: Separation of Duties			
Control 2.1: Inadequate Separation of Duties Accounts for which the Cardholder and A/BO are the same individual	Scale:	0 1 >1	Exceptions: 0
Category 3: Authorization Controls			
Control 3.1: Spending Ratio - Underutilized Credit Limits Accounts for which the three-cycle spending average is less than 70% of the average cycle limit	Scale:	0-5 6-10 >10	Exceptions: 47
Control 3.2: Single Merchant Spending Accounts that have at least 10 transactions and an 80% or greater spending percentage at one merchant	Scale:	0-5 6-10 >10	Exceptions: 0
Category 4: Account Status			
Control 4.1: Delinquent Accounts Managing Accounts delinquent for more than 30 days	Scale:	0 1 >1	Exceptions: 5
Control 4.2: Account Usage Accounts that have been inactive for six cycles or have never been used	Scale:	0-5 6-10 >10	Exceptions: 0
Control 4.3: Lost/Stolen Cards Managing Accounts that have more than one lost/stolen card(s) in the last six cycles	Scale:	0 1 >1	Exceptions: 0
Control 4.4: Transaction Disputes Cardholder Accounts that have three or more transaction disputes over the last three cycles	Scale:	0 1 >1	Exceptions: 1
Category 5: Transaction Review Controls			
Control 5.1: Average Cycle Transactions Higher than average number of transactions (>100) for a Managing Account per cycle, based on three cycles of data	Scale:	0 1-2 >2	Exceptions: 0
Control 5.2: A/BO Response Rate A/BO failure to complete case review in Case Management for flagged transactions within 16 business days	Scale:	0 1 >1	Exceptions: 2
Control 5.3: A/OPC Response Rate A/OPC failure to complete independent review in Case Management for High Risk transactions within 16 business days of A/BO completing initial review	Scale:	0 1 >1	Exceptions: 3
Control 5.4: Flagged Transaction Determination Flagged transactions determined to be other than valid in Case Management (Misuse/Abuse/Suspected Fraud)	Scale:	0 1 >1	Exceptions: 0
Control 5.5: Convenience Check Amounts Accounts that have a Convenience Check transaction for more than $3,500	Scale:	0 1 >1	Exceptions: 0

A/BO Dashboard

Approving/Billing Official Pool (Level 5) Dashboard

Select Cycle: 19-Mar-2013

To view the details of a control, click the control name.

Overall Risk Assessment

Total Cardholder Accounts: 2

Category 1: Span of Control

Control 1.1: Cardholder Accounts to Managing Accounts
More than seven Cardholder Accounts to one Managing Account
Exceptions: 0

Category 2: Separation of Duties

Control 2.1: Inadequate Separation of Duties
Accounts for which the Cardholder and A/BO are the same individual
Exceptions: 0

Category 3: Authorization Controls

Control 3.1: Spending Ratio - Underutilized Credit Limits
Accounts for which the three-cycle spending average is less than 70% of the average cycle limit
Exceptions: 0

Control 3.2: Single Merchant Spending
Accounts that have at least 10 transactions and an 80% or greater spending percentage at one merchant
Exceptions: 1

Category 4: Account Status

Control 4.1: Delinquent Accounts
Managing Accounts delinquent for more than 30 days
Exceptions: 0

Control 4.2: Account Usage
Accounts that have been inactive for six cycles or have never been used
Exceptions: 0

Control 4.3: Lost/Stolen Cards
Managing Accounts that have more than one lost/stolen card(s) in the last six cycles
Exceptions: 0

Control 4.4: Transaction Disputes
Cardholder Accounts that have three or more transaction disputes over the last three cycles
Exceptions: 0

Category 5: Transaction Review Controls

Control 5.1: Average Cycle Transactions
Higher than average number of transactions (>100) for a Managing Account per cycle, based on three cycles of data
Exceptions: 0

Control 5.2: A/BO Response Rate
A/BO failure to complete case review in Case Management for flagged transactions within 16 business days
Exceptions: 2

Control 5.3: A/OPC Response Rate
A/OPC failure to complete independent review in Case Management for High Risk transactions within 16 business days of A/BO completing initial review
Exceptions: 2

Control 5.4: Flagged Transaction Determination
Flagged transactions determined to be other than valid in Case Management (Misuse/Abuse/Suspected Fraud)
Exceptions: 0

Control 5.5: Convenience Check Amounts
Accounts that have a Convenience Check transaction for more than $3,500
Exceptions: 0

Viewing Control Reports

- Five Control Categories:
  - **Category 1: Span of Control**
    - *Control 1.1: Cardholder Accounts to Managing Accounts*
    - *Control 1.2: Accounts to A/OPC TBR*
  - **Category 2: Separation of Duties**
    - *Control 2.1: Inadequate Separation of Duties*
  - **Category 3: Authorization Controls**
    - *Control 3.1: Spending Ratio - Underutilized Credit Limits*
    - *Control 3.2: Single Merchant Spending*

Viewing Control Reports

- **Category 4: Card Status**
  - *Control 4.1: Delinquent Accounts*
  - *Control 4.2: Account Usage*
  - *Control 4.3: Lost/Stolen Cards*
  - *Control 4.4: Transaction Disputes*
- **Category 5: Transaction Review Controls**
  - *Control 5.1: Average Cycle Transactions*
  - *Control 5.2: A/BO Response Rate*
  - *Control 5.3: A/OPC Response Rate*
  - *Control 5.4: Flagged Transaction Determination*
  - *Control 5.5: Convenience Check Amounts*

Category 1.1 Span of Control

Category 1: Span of Control

- Control 1.1: Cardholder Accounts to Managing Accounts
- Control 1.2: Accounts to A/OPC TBR

1.1 Span of Control

Category 1: Span of Control

Control 1.1: Cardholder Accounts to Managing Accounts
More than seven Cardholder Accounts to one Managing Account

Scale: 0 / 1 / >1

Exceptions: 0

Cardholder Accounts to Managing Accounts

More than seven Cardholder Accounts to one Managing Account

View: Agency/Organization Program Coordinator

Select Cycle: 19-Mar-2013

PCPO >> **00044** >> **04444** >> 14444

Level 3	Level 4	Level 5	A/BO Name	Number of Cardholder Accounts
00044	04444	14444	A/BO User	8
00014	04444	68548	A/BO User 2	8

1.1 Span of Control

Category 1: Span of Control

Control 1.1: Cardholder Accounts to Managing Accounts
More than seven Cardholder Accounts to one Managing Account

Scale: 0 / 1 / >1 — Exceptions: 0

Cardholder Accounts to Managing Accounts

More than seven Cardholder Accounts to one Managing Account

View: Approving/Billing Official

Select Cycle: 19-Mar-2013

PCPO >> 00004 >> 00044 >> 04444 >> 14444

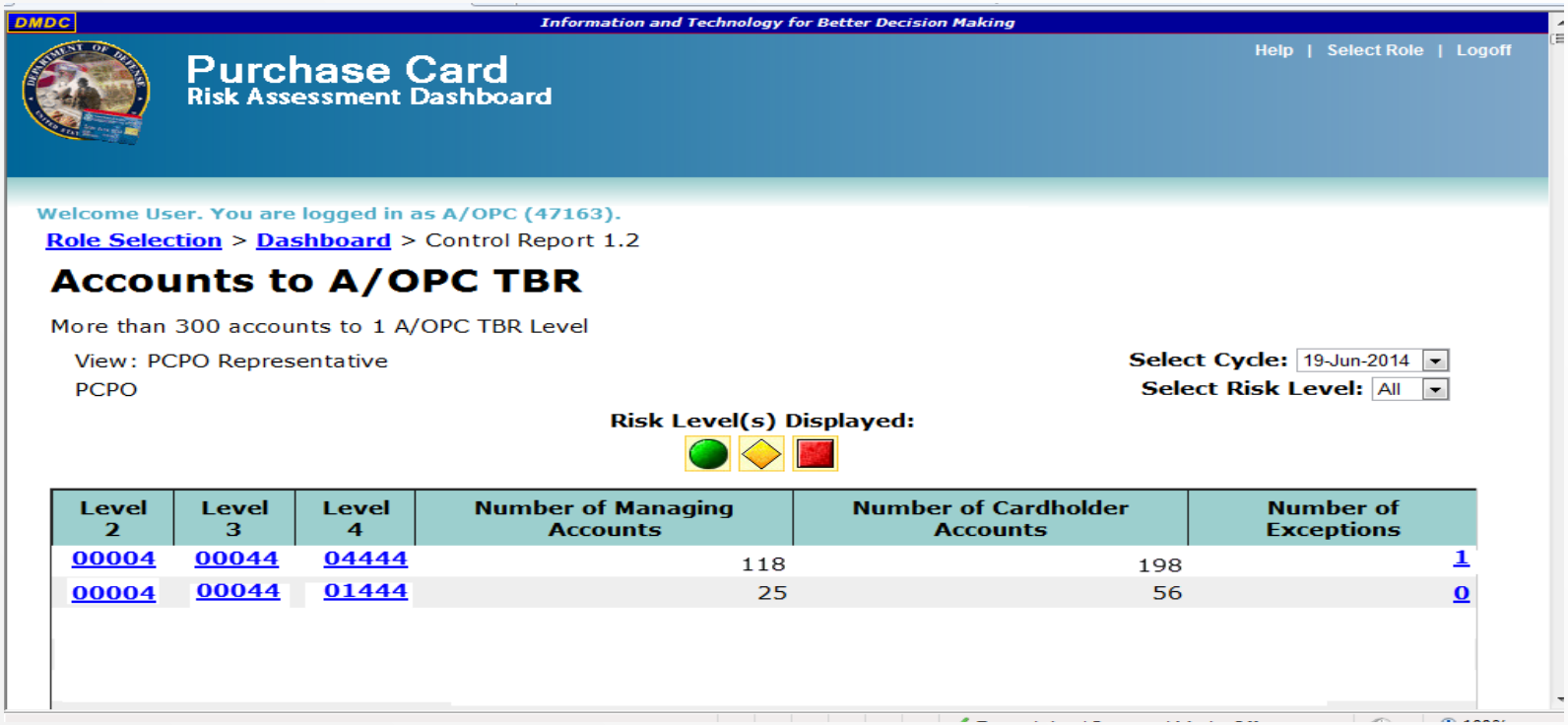
Level 4	Level 5	Cardholder Account Number	Single Purchase Limit	Cycle Spending Limit	Total Cycle Spend	Transactions Without Authorization Numbers	Cycle Transactions	Last Transaction Date
04444	14444	**********0080	$6,000.00	$40,000.00	$293.69	0	1	01-Mar-2013
04444	14444	**********0225	$3,000.00	$5,000.00	$1,241.33	0	6	18-Mar-2013
04444	14444	**********0478	$3,000.00	$5,000.00	$2,438.16	0	3	05-Mar-2013
04444	14444	**********1929	$25,000.00	$50,000.00	$170.75	0	2	20-Feb-2013
04444	14444	**********2782			$0.00	0	0	07-Feb-2013
04444	14444	**********5591			$0.00	0	0	13-Feb-2013
04444	14444	**********7385	$3,000.00	$20,000.00	$1,190.74	0	3	14-Mar-2013
04444	14444	**********9542	$3,100.00	$12,000.00	$2,572.61	0	4	18-Mar-2013

1.2 Accounts to A/OPC TBR

Control 1.2: Accounts to A/OPC TBR
More than 300 accounts to 1 A/OPC TBR Level

Scale: 0 / N/A / 1

Exceptions: 0


DMDC
Information and Technology for Better Decision Making
Purchase Card
Risk Assessment Dashboard
Help | Select Role | Logoff
Welcome User. You are logged in as A/OPC (47163).
Role Selection > Dashboard > Control Report 1.2
Accounts to A/OPC TBR
More than 300 accounts to 1 A/OPC TBR Level
View: PCPO Representative
PCPO
Select Cycle: 19-Jun-2014
Select Risk Level: All
Risk Level(s) Displayed:

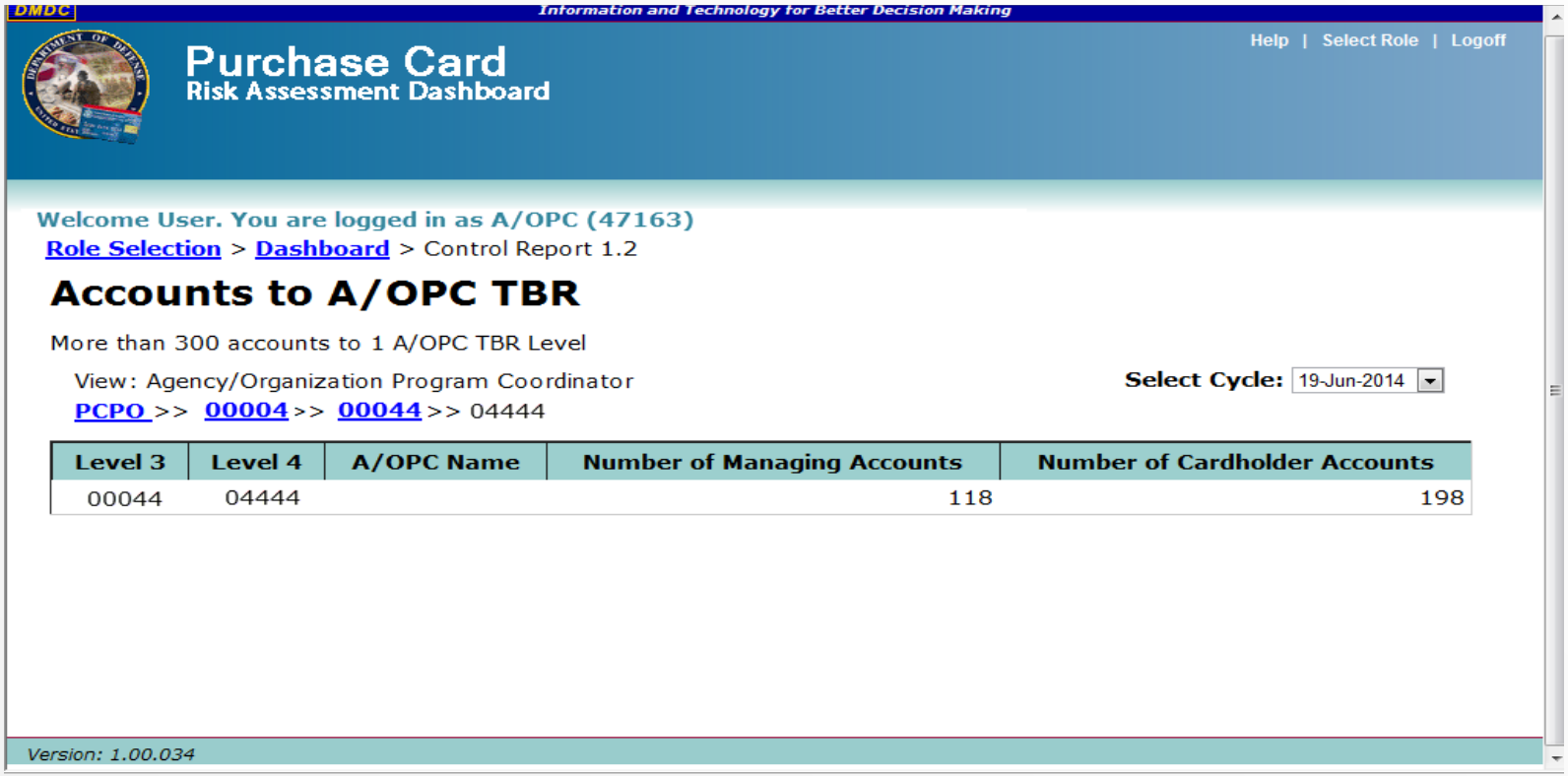
Level 2	Level 3	Level 4	Number of Managing Accounts	Number of Cardholder Accounts	Number of Exceptions
00004	00044	04444	118	198	1
00004	00044	01444	25	56	0

1.2 Accounts to A/OPC TBR

Control 1.2: Accounts to A/OPC TBR
More than 300 accounts to 1 A/OPC TBR Level

Scale: 0 N/A 1

Exceptions: 0


DMDC
Information and Technology for Better Decision Making
Purchase Card
Risk Assessment Dashboard
Help | Select Role | Logoff
Welcome User. You are logged in as A/OPC (47163)
Role Selection > Dashboard > Control Report 1.2
Accounts to A/OPC TBR
More than 300 accounts to 1 A/OPC TBR Level
View: Agency/Organization Program Coordinator
PCPO >> 00004 >> 00044 >> 04444
Select Cycle: 19-Jun-2014
Level 3 | Level 4 | A/OPC Name | Number of Managing Accounts | Number of Cardholder Accounts
00044 | 04444 | | 118 | 198
Version: 1.00.034

Category 2: Separation of Duties

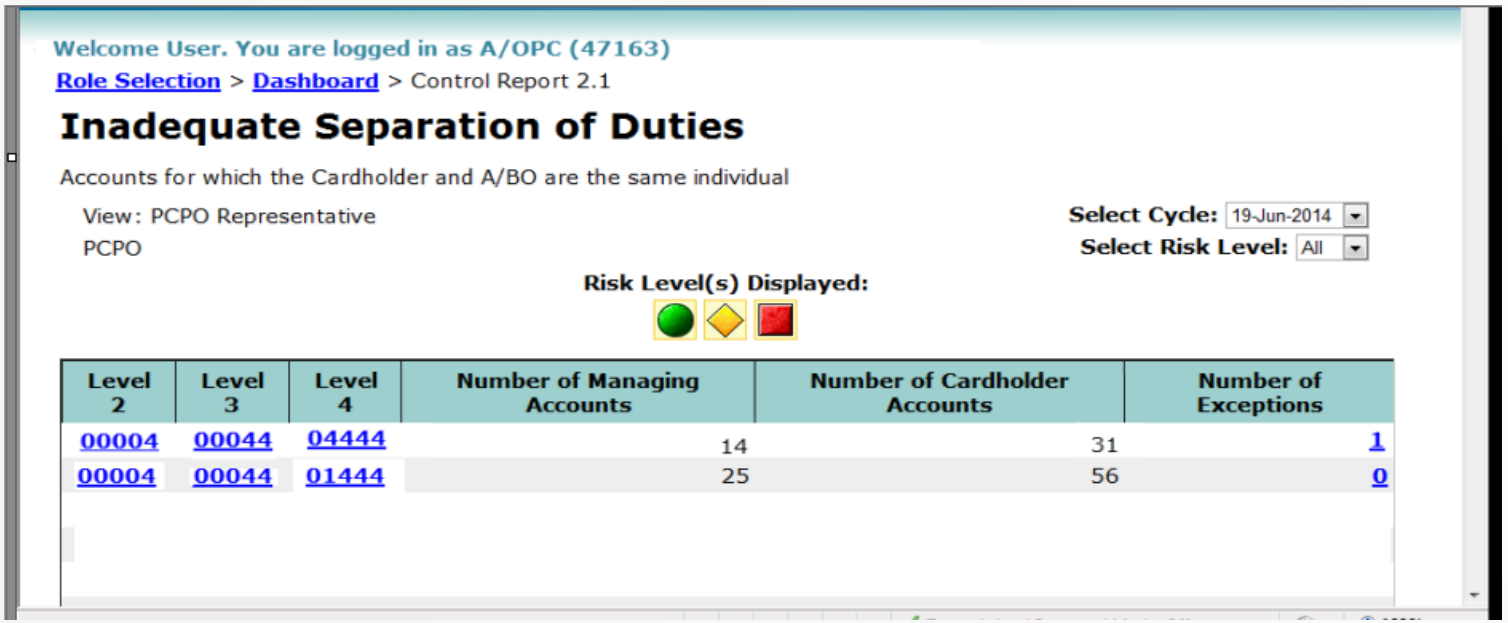
- Control 2.1: Inadequate Separation of Duties

2.1 Separation of Duties

Category 2: Separation of Duties

Control 2.1: Inadequate Separation of Duties
Accounts for which the Cardholder and A/BO are the same individual

Scale: 0 / 1 / >1 — Exceptions: 10



Welcome User. You are logged in as A/OPC (47163)

Role Selection > Dashboard > Control Report 2.1

Inadequate Separation of Duties

Accounts for which the Cardholder and A/BO are the same individual

View: PCPO Representative

PCPO

Select Cycle: 19-Jun-2014

Select Risk Level: All

Risk Level(s) Displayed:

Level 2	Level 3	Level 4	Number of Managing Accounts	Number of Cardholder Accounts	Number of Exceptions
00004	00044	04444	14	31	1
00004	00044	01444	25	56	0

2.1 Separation of Duties

Category 2: Separation of Duties

Control 2.1: Inadequate Separation of Duties
Accounts for which the Cardholder and A/BO are the same individual

Scale: 0 / 1 / >1 — Exceptions: 10

DMDC — Information and Technology for Better Decision Making

New Tab (Ctrl+T)

Help | Select Role | Lo

Purchase Card
Risk Assessment Dashboard

Welcome User. You are logged in as A/OPC (47163)

Role Selection > Dashboard > Control Report 2.1

Inadequate Separation of Duties

Accounts for which the Cardholder and A/BO are the same individual

View: Agency/Organization Program Coordinator

Select Cycle: 19-Jun-2014

PCPO >> 00004 >> 00044 >> 04444

Level 3	Level 4	Level 5	A/BO Name	Number of Cardholder Accounts	Cardholder Account Number
00004	00044	04444	Smith, John	2	**********6177

Category 3

Category 3: Authorization Controls

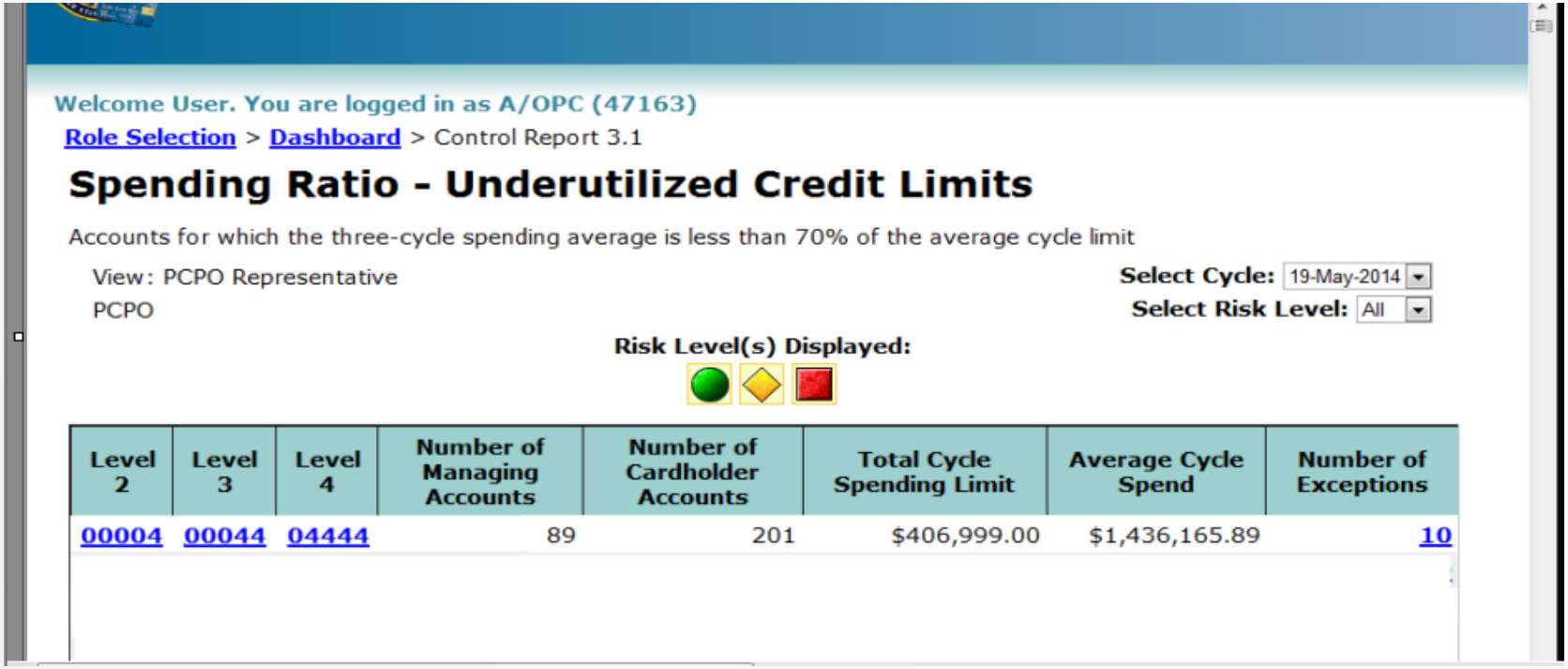
- Control 3.1: Spending Ratio - Underutilized Credit Limits
- Control 3.2: Single Merchant Spending

3.1 Spending Ratio

Category 3: Authorization Controls

Control 3.1: Spending Ratio - Underutilized Credit Limits
Accounts for which the three-cycle spending average is less than 70% of the average cycle limit

Scale: 0-5, 6-10, >10 Exceptions: 11



Welcome User. You are logged in as A/OPC (47163)

Role Selection > Dashboard > Control Report 3.1

Spending Ratio - Underutilized Credit Limits

Accounts for which the three-cycle spending average is less than 70% of the average cycle limit

View: PCPO Representative

PCPO

Select Cycle: 19-May-2014

Select Risk Level: All

Risk Level(s) Displayed:

Level 2	Level 3	Level 4	Number of Managing Accounts	Number of Cardholder Accounts	Total Cycle Spending Limit	Average Cycle Spend	Number of Exceptions
00004	00044	04444	89	201	$406,999.00	$1,436,165.89	10

3.1 Spending Ratio

Category 3: Authorization Controls

Control 3.1: Spending Ratio - Underutilized Credit Limits
Accounts for which the three-cycle spending average is less than 70% of the average cycle limit

Scale: 0-5, 6-10, >10 Exceptions: 11

Welcome User. You are logged in as A/OPC (47163)

Role Selection > Dashboard > Control Report 3.1

Spending Ratio - Underutilized Credit Limits

Accounts for which the three-cycle spending average is less than 70% of the average cycle limit

View: High-Level Agency/Organization Program Coordinator

PCPO >> 00004 >> 00044 >> 04444

Select Cycle: 19-Jun-2014

Select Risk Level: All

Risk Level(s) Displayed:

Level 4	Level 5	A/OPC Name	Number of Managing Accounts	Number of Cardholder Accounts	Total Cycle Spending Limit	Average Cycle Spend	Number of Exceptions
04444	44444		9	19	$106,999.00	$44,906.50	6
04444	14444		1	3	$150,000.00	$30,184.50	2
04444	24444		1	2	$150,000.00	$11,155.27	2

Trusted sites | Protected Mode: Off

3.1 Spending Ratio

Category 3: Authorization Controls

Control 3.1: Spending Ratio - Underutilized Credit Limits
Accounts for which the three-cycle spending average is less than 70% of the average cycle limit

Scale: 0-5, 6-10, >10 Exceptions: 11

Purchase Card
Risk Assessment Dashboard

Welcome User. You are logged in as A/OPC (47163)

Role Selection > Dashboard > Control Report 3.1

Spending Ratio - Underutilized Credit Limits

Accounts for which the three-cycle spending average is less than 70% of the average cycle limit

View: Agency/Organization Program Coordinator

Select Cycle: 19-Jun-2014

PCPO >> 00004 >> 00044 >> 04444 >> 14444

Level 4	Level 5	Level 6	A/BO Name	Number of Cardholder Accounts	Total Cycle Spending Limit	Average Cycle Spend	Number of Exceptions
04444	14444	12345	Jane Doe	3	$150,000.00	$30,184.50	2

3.1 Spending Ratio

Category 3: Authorization Controls

Control 3.1: Spending Ratio - Underutilized Credit Limits
Accounts for which the three-cycle spending average is less than 70% of the average cycle limit

Scale: 0-5, 6-10, >10 Exceptions: 11

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Purchase Card
Risk Assessment Dashboard

Help | Select Role | Lo

Welcome User. You are logged in as A/OPC (47163)

Role Selection > Dashboard > Control Report 3.1

Spending Ratio - Underutilized Credit Limits

Accounts for which the three-cycle spending average is less than 70% of the average cycle limit

View: Approving/Billing Official

Select Cycle: 19-Jun-2014

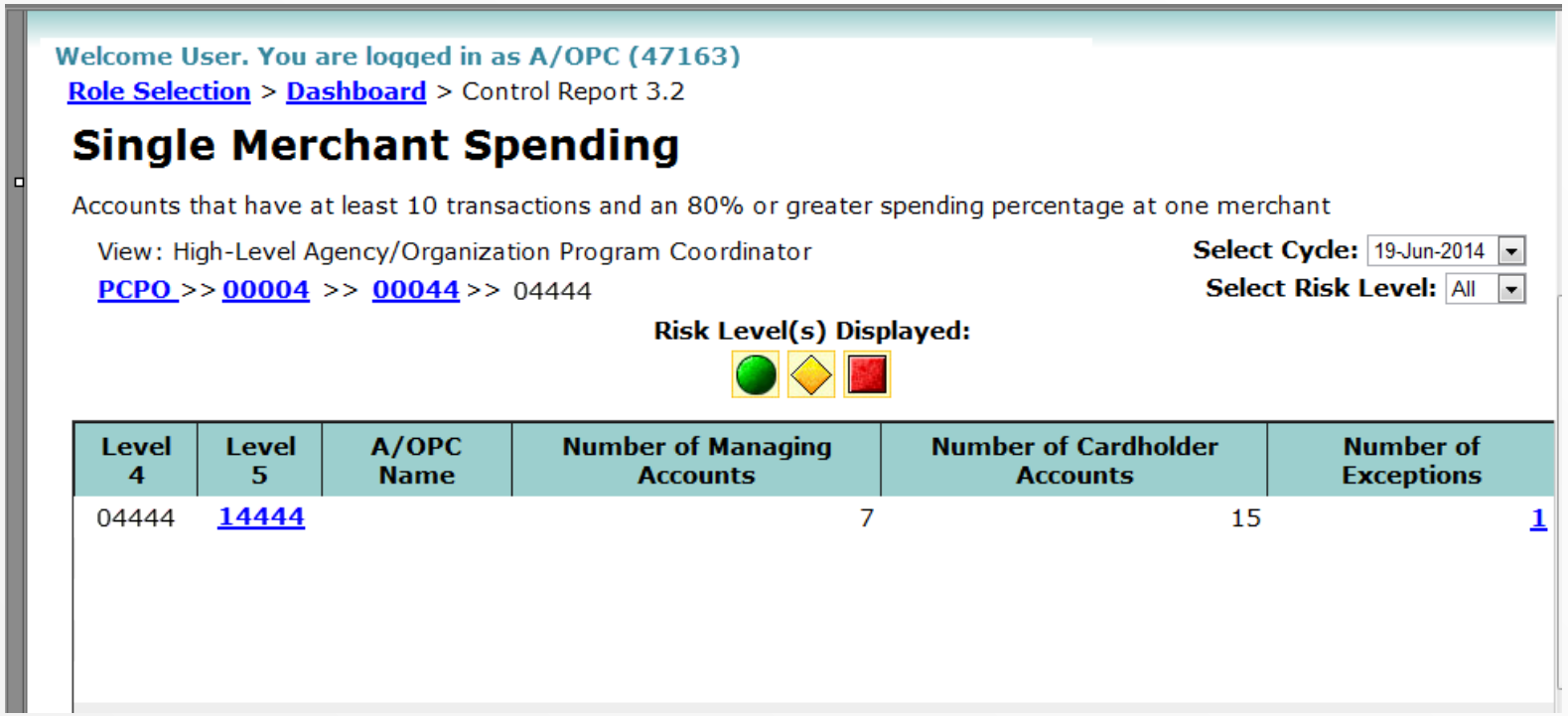
PCPO >> 00004 >> 00044 >> 04444 >> 14444 >> 12345

Level 5	Level 6	Cardholder Account Number	Total Cycle Spending Limit	Average Cycle Spend	Average Cycle Spending Percentage
14444	12345	**********3733	$75,000.00	$21,175.23	28.23%
14444	12345	**********4943	$75,000.00	$3,331.91	4.44%

3.2 Single Merchant Spending

Control 3.2: Single Merchant Spending
Accounts that have at least 10 transactions and an 80% or greater spending percentage at one merchant

Scale: 0-5, 6-10, >10 Exceptions: 0



Welcome User. You are logged in as A/OPC (47163)

Role Selection > Dashboard > Control Report 3.2

Single Merchant Spending

Accounts that have at least 10 transactions and an 80% or greater spending percentage at one merchant

View: High-Level Agency/Organization Program Coordinator

Select Cycle: 19-Jun-2014

Select Risk Level: All

PCPO >> 00004 >> 00044 >> 04444

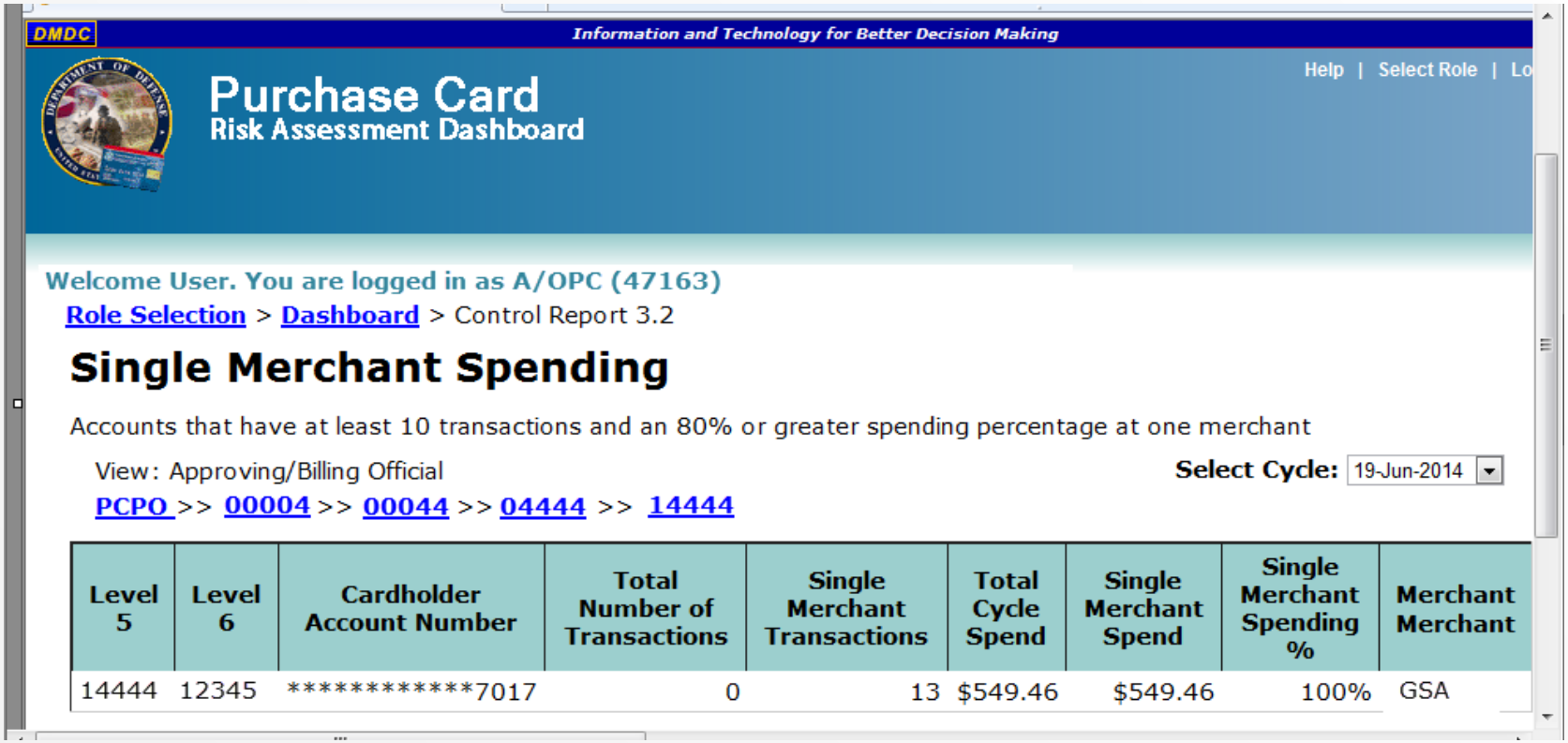
Risk Level(s) Displayed:

Level 4	Level 5	A/OPC Name	Number of Managing Accounts	Number of Cardholder Accounts	Number of Exceptions
04444	14444		7	15	1

3.2 Single Merchant Spending

Control 3.2: Single Merchant Spending
Accounts that have at least 10 transactions and an 80% or greater spending percentage at one merchant

Scale: 0-5, 6-10, >10 Exceptions: 0



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Purchase Card
Risk Assessment Dashboard

Help | Select Role | Lo

Welcome User. You are logged in as A/OPC (47163)

Role Selection > Dashboard > Control Report 3.2

Single Merchant Spending

Accounts that have at least 10 transactions and an 80% or greater spending percentage at one merchant

View: Approving/Billing Official

Select Cycle: 19-Jun-2014

PCPO >> 00004 >> 00044 >> 04444 >> 14444

Level 5	Level 6	Cardholder Account Number	Total Number of Transactions	Single Merchant Transactions	Total Cycle Spend	Single Merchant Spend	Single Merchant Spending %	Merchant Merchant
14444	12345	**********7017	0	13	$549.46	$549.46	100%	GSA

Category 4: Account Status

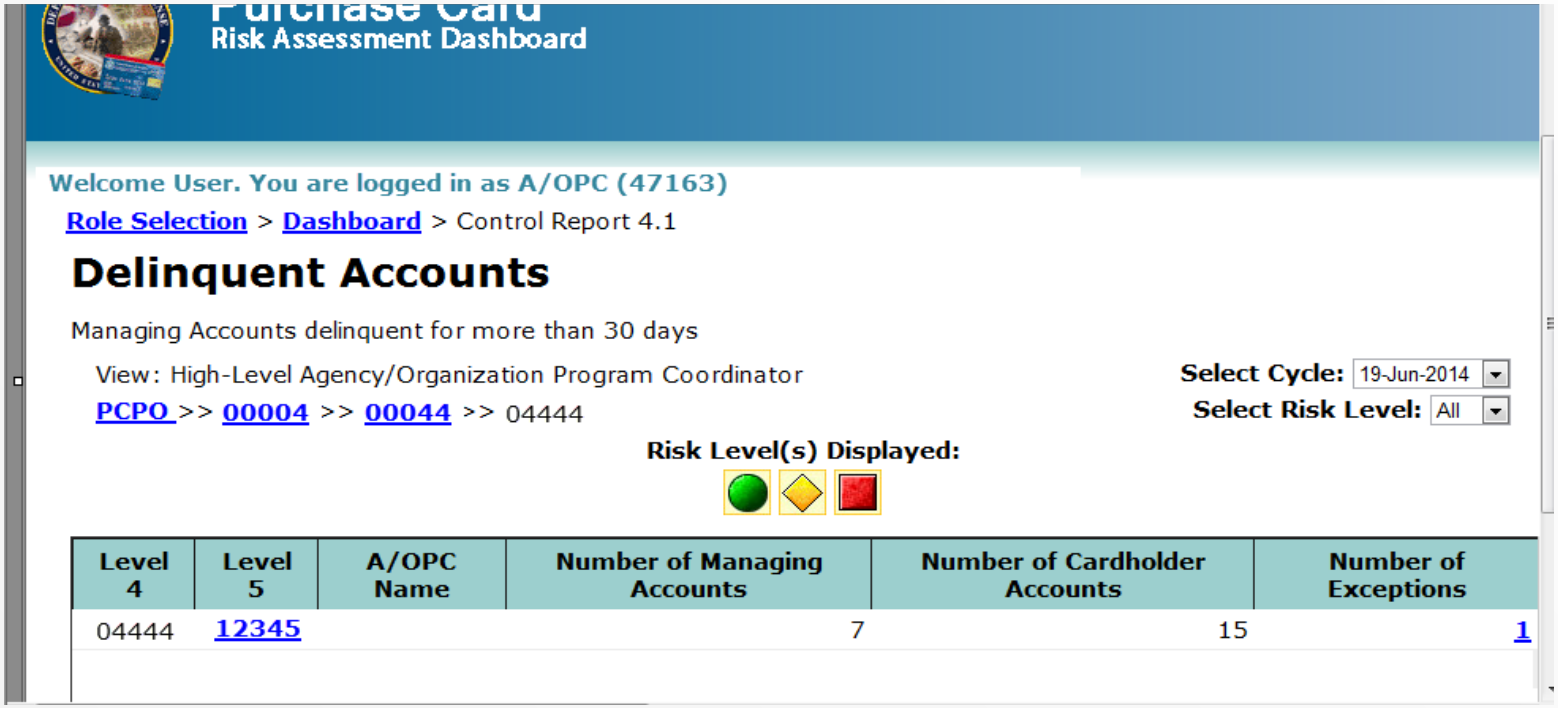
- Control 4.1: Delinquent Accounts
- Control 4.2: Account Usage
- Control 4.3: Lost/Stolen Cards
- Control 4.4: Transaction Disputes

4.1 Delinquent Accounts

Category 4: Account Status

Control 4.1: Delinquent Accounts
Managing Accounts delinquent for more than 30 days

Scale: 0 / 1 / >1 — Exceptions: 0

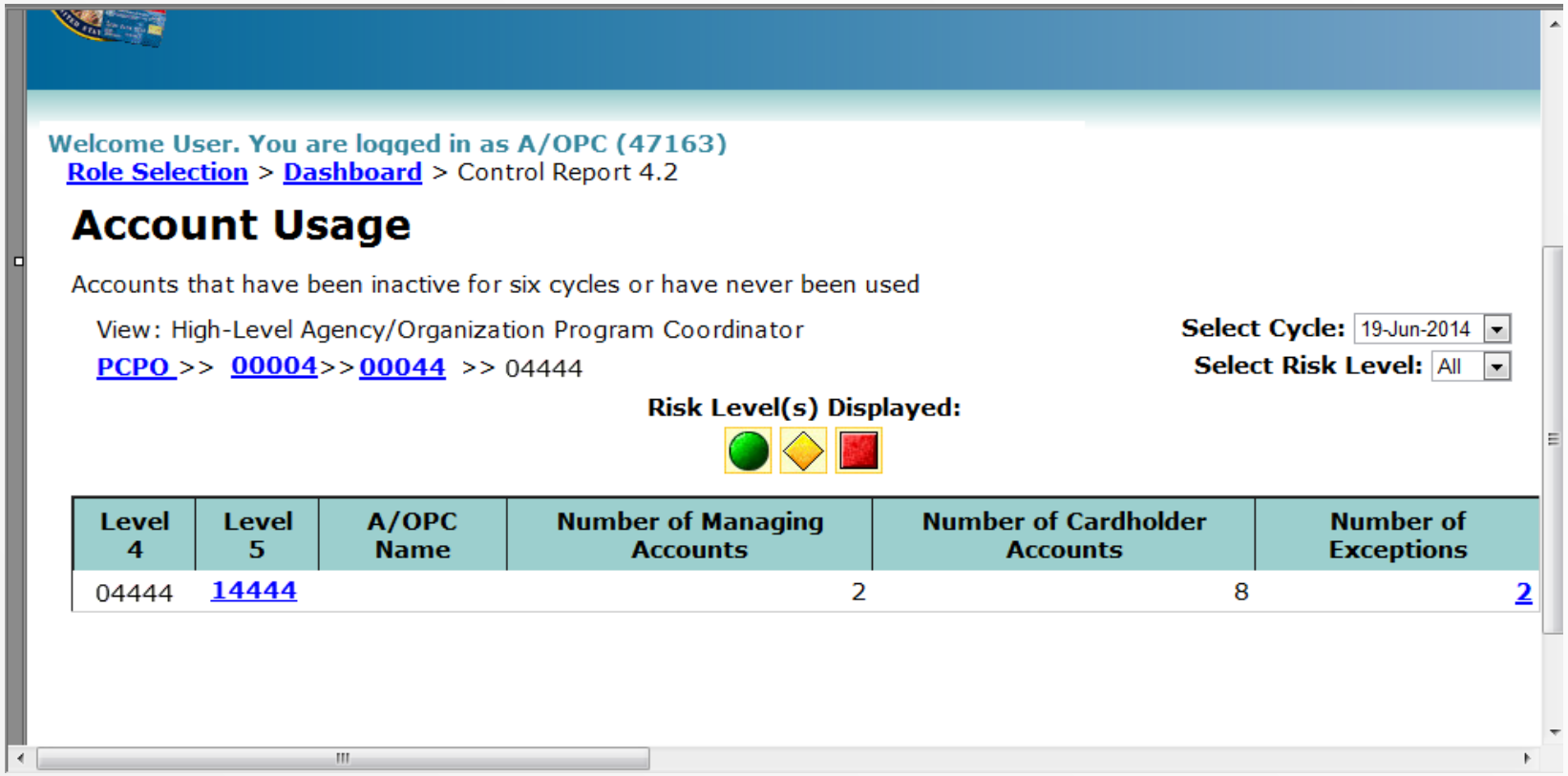

Purchase Card
Risk Assessment Dashboard
Welcome User. You are logged in as A/OPC (47163)
Role Selection > Dashboard > Control Report 4.1
Delinquent Accounts
Managing Accounts delinquent for more than 30 days
View: High-Level Agency/Organization Program Coordinator
PCPO >> 00004 >> 00044 >> 04444
Select Cycle: 19-Jun-2014
Select Risk Level: All
Risk Level(s) Displayed:

Level 4	Level 5	A/OPC Name	Number of Managing Accounts	Number of Cardholder Accounts	Number of Exceptions
04444	12345		7	15	1

4.2 Account Usage

Control 4.2: Account Usage
Accounts that have been inactive for six cycles or have never been used

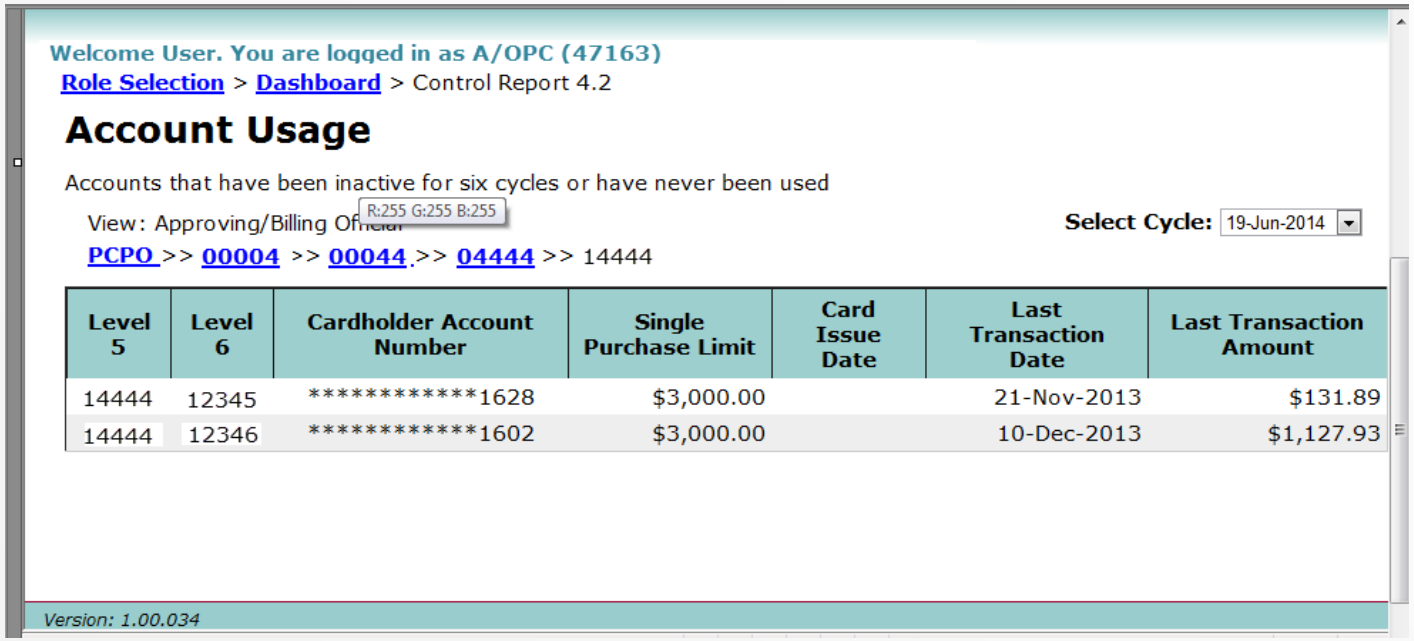
Scale: 0-5, 6-10, >10 Exceptions: 0



4.2 Account Usage

Control 4.2: Account Usage
Accounts that have been inactive for six cycles or have never been used

Scale: 0-5 6-10 >10 Exceptions: 0



Welcome User. You are logged in as A/OPC (47163)

Role Selection > Dashboard > Control Report 4.2

Account Usage

Accounts that have been inactive for six cycles or have never been used

View: Approving/Billing Official R:255 G:255 B:255

Select Cycle: 19-Jun-2014

PCPO >> 00004 >> 00044 >> 04444 >> 14444

Level 5	Level 6	Cardholder Account Number	Single Purchase Limit	Card Issue Date	Last Transaction Date	Last Transaction Amount
14444	12345	**********1628	$3,000.00		21-Nov-2013	$131.89
14444	12346	**********1602	$3,000.00		10-Dec-2013	$1,127.93

Version: 1.00.034

4.3 Lost/Stolen Cards

Control 4.3: Lost/Stolen Cards
Managing Accounts that have more than one lost/stolen card(s) in the last six cycles

Scale: 0 1 >1 Exceptions: 1

Purchase Card
Risk Assessment Dashboard

Welcome User. You are logged in as A/OPC (47163)

Role Selection > Dashboard > Control Report 4.3

Lost/Stolen Cards

Managing Accounts that have more than one lost/stolen card(s) in the last six cycles

View: PCPO Representative
PCPO

Select Cycle: 19-Jun-2014
Select Risk Level: All

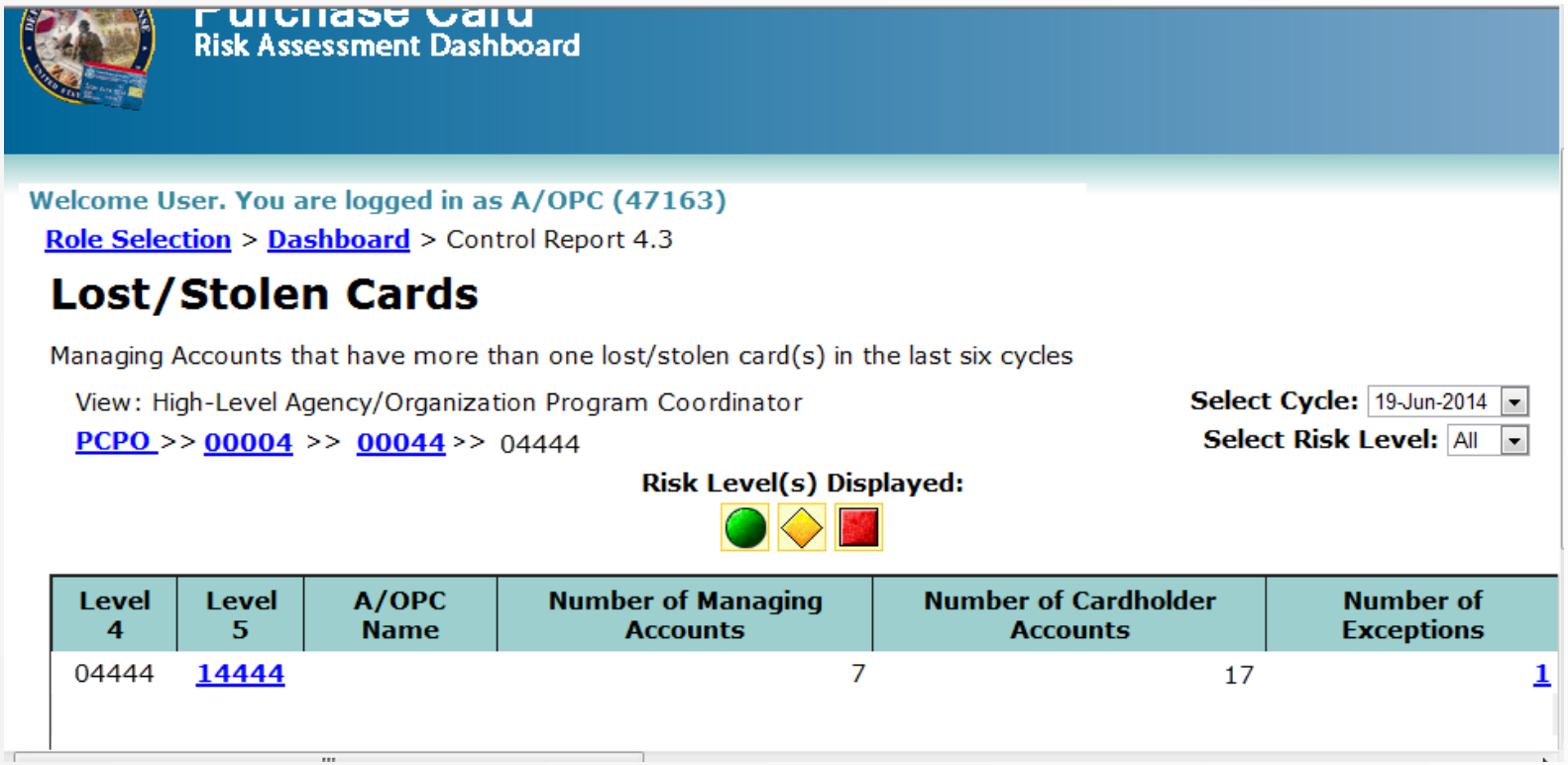
Risk Level(s) Displayed:

Level 2	Level 3	Level 4	Number of Managing Accounts	Number of Cardholder Accounts	Number of Exceptions
00004	00044	04444	2	8	0
00004	00044	01444	25	56	1

4.3 Lost/Stolen Cards

Control 4.3: Lost/Stolen Cards
Managing Accounts that have more than one lost/stolen card(s) in the last six cycles

Scale: 0 1 >1 Exceptions: 1



Purchase Card
Risk Assessment Dashboard

Welcome User. You are logged in as A/OPC (47163)

Role Selection > Dashboard > Control Report 4.3

Lost/Stolen Cards

Managing Accounts that have more than one lost/stolen card(s) in the last six cycles

View: High-Level Agency/Organization Program Coordinator

PCPO >> 00004 >> 00044 >> 04444

Select Cycle: 19-Jun-2014

Select Risk Level: All

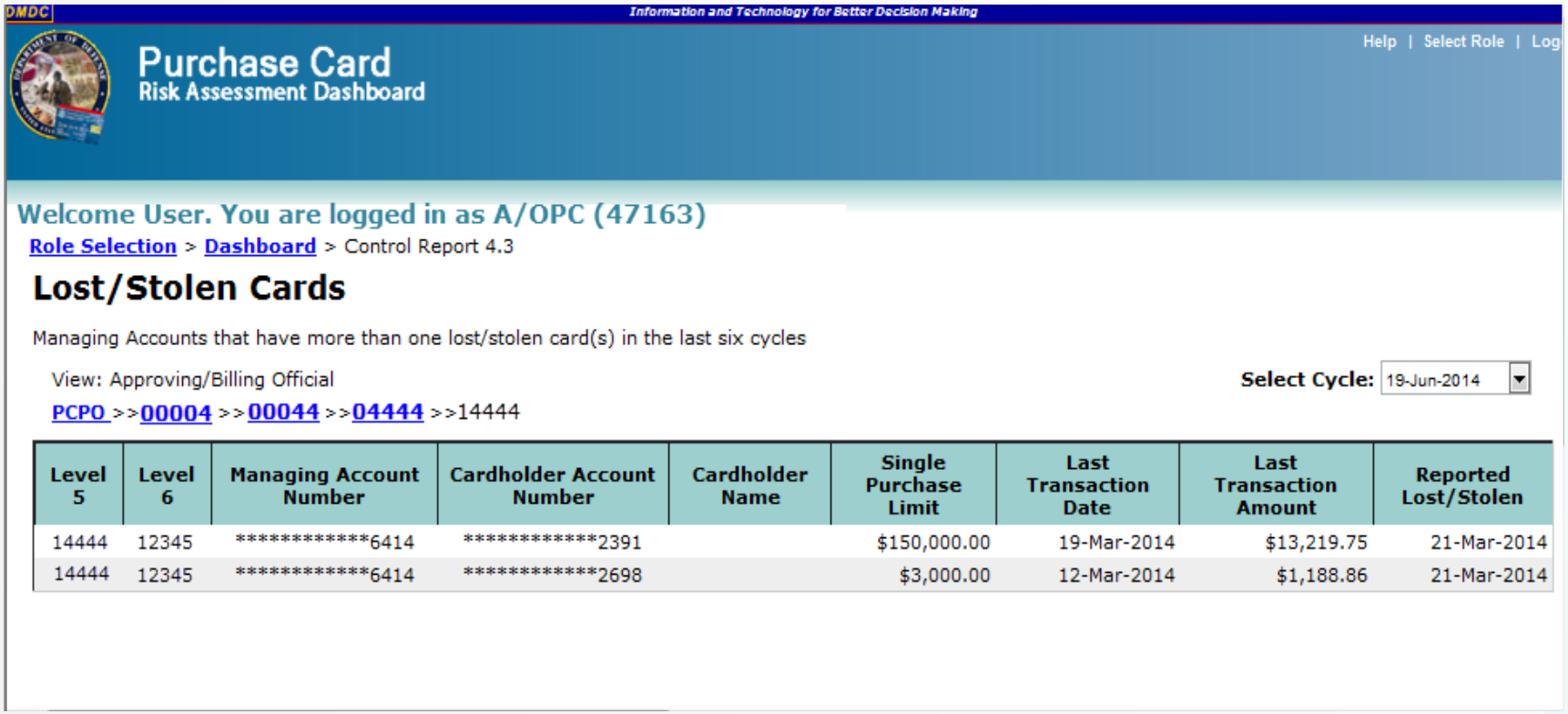
Risk Level(s) Displayed:

Level 4	Level 5	A/OPC Name	Number of Managing Accounts	Number of Cardholder Accounts	Number of Exceptions
04444	14444		7	17	1

4.3 Lost/Stolen Cards

Control 4.3: Lost/Stolen Cards
Managing Accounts that have more than one lost/stolen card(s) in the last six cycles

Scale: 0 / 1 / >1 — Exceptions: 1



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Purchase Card
Risk Assessment Dashboard

Help | Select Role | Log

Welcome User. You are logged in as A/OPC (47163)

Role Selection > Dashboard > Control Report 4.3

Lost/Stolen Cards

Managing Accounts that have more than one lost/stolen card(s) in the last six cycles

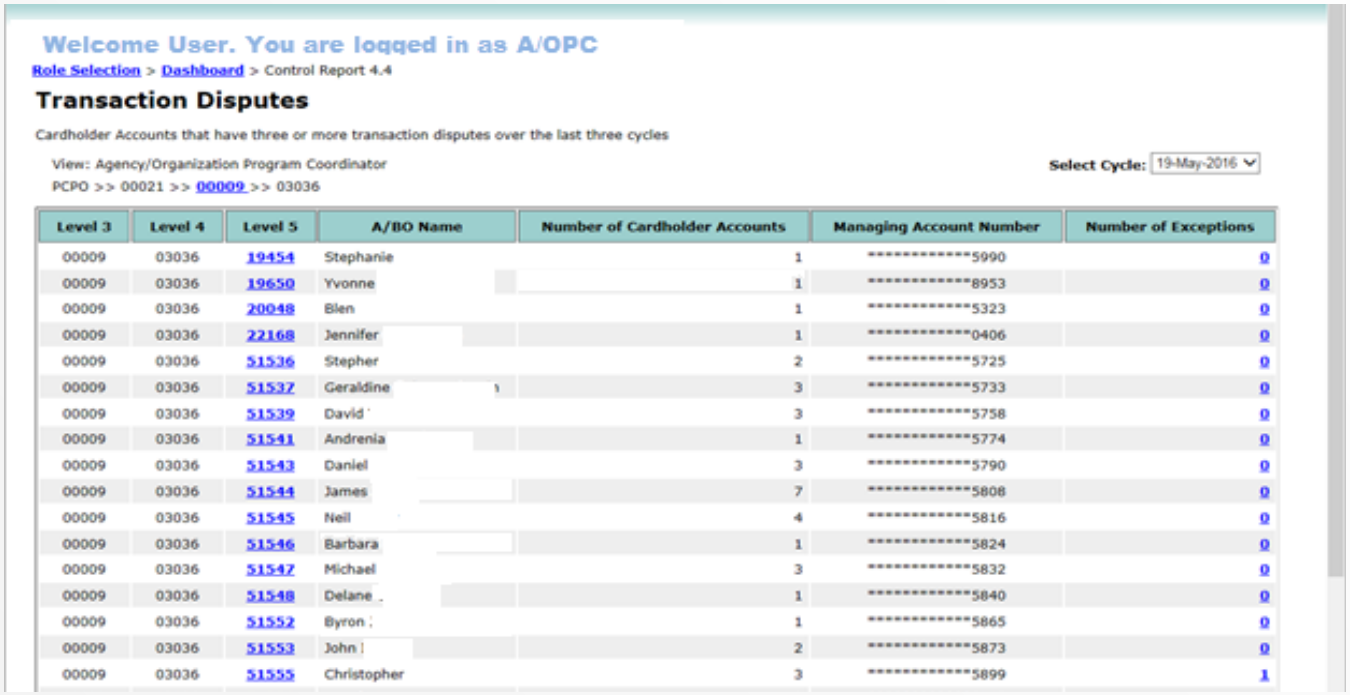
View: Approving/Billing Official

Select Cycle: 19-Jun-2014

PCPO >>00004 >>00044 >>04444 >>14444

Level 5	Level 6	Managing Account Number	Cardholder Account Number	Cardholder Name	Single Purchase Limit	Last Transaction Date	Last Transaction Amount	Reported Lost/Stolen
14444	12345	**********6414	**********2391		$150,000.00	19-Mar-2014	$13,219.75	21-Mar-2014
14444	12345	**********6414	**********2698		$3,000.00	12-Mar-2014	$1,188.86	21-Mar-2014

4.4 Transaction Disputes



Welcome User. You are logged in as A/OPC

Role Selection > Dashboard > Control Report 4.4

Transaction Disputes

Cardholder Accounts that have three or more transaction disputes over the last three cycles

View: Agency/Organization Program Coordinator

Select Cycle: 19-May-2016

PCPO >> 00021 >> 00009 >> 03036

Level 3	Level 4	Level 5	A/BO Name	Number of Cardholder Accounts	Managing Account Number	Number of Exceptions
00009	03036	19454	Stephanie	1	**********5990	0
00009	03036	19650	Yvonne	1	**********8953	0
00009	03036	20048	Blen	1	**********5323	0
00009	03036	22168	Jennifer	1	**********0406	0
00009	03036	51536	Stepher	2	**********5725	0
00009	03036	51537	Geraldine	3	**********5733	0
00009	03036	51539	David	3	**********5758	0
00009	03036	51541	Andrenia	1	**********5774	0
00009	03036	51543	Daniel	3	**********5790	0
00009	03036	51544	James	7	**********5808	0
00009	03036	51545	Neil	4	**********5816	0
00009	03036	51546	Barbara	1	**********5824	0
00009	03036	51547	Michael	3	**********5832	0
00009	03036	51548	Delane	1	**********5840	0
00009	03036	51552	Byron	1	**********5865	0
00009	03036	51553	John	2	**********5873	0
00009	03036	51555	Christopher	3	**********5899	1

4.4 Transaction Disputes

Category 5: Transaction Review Controls

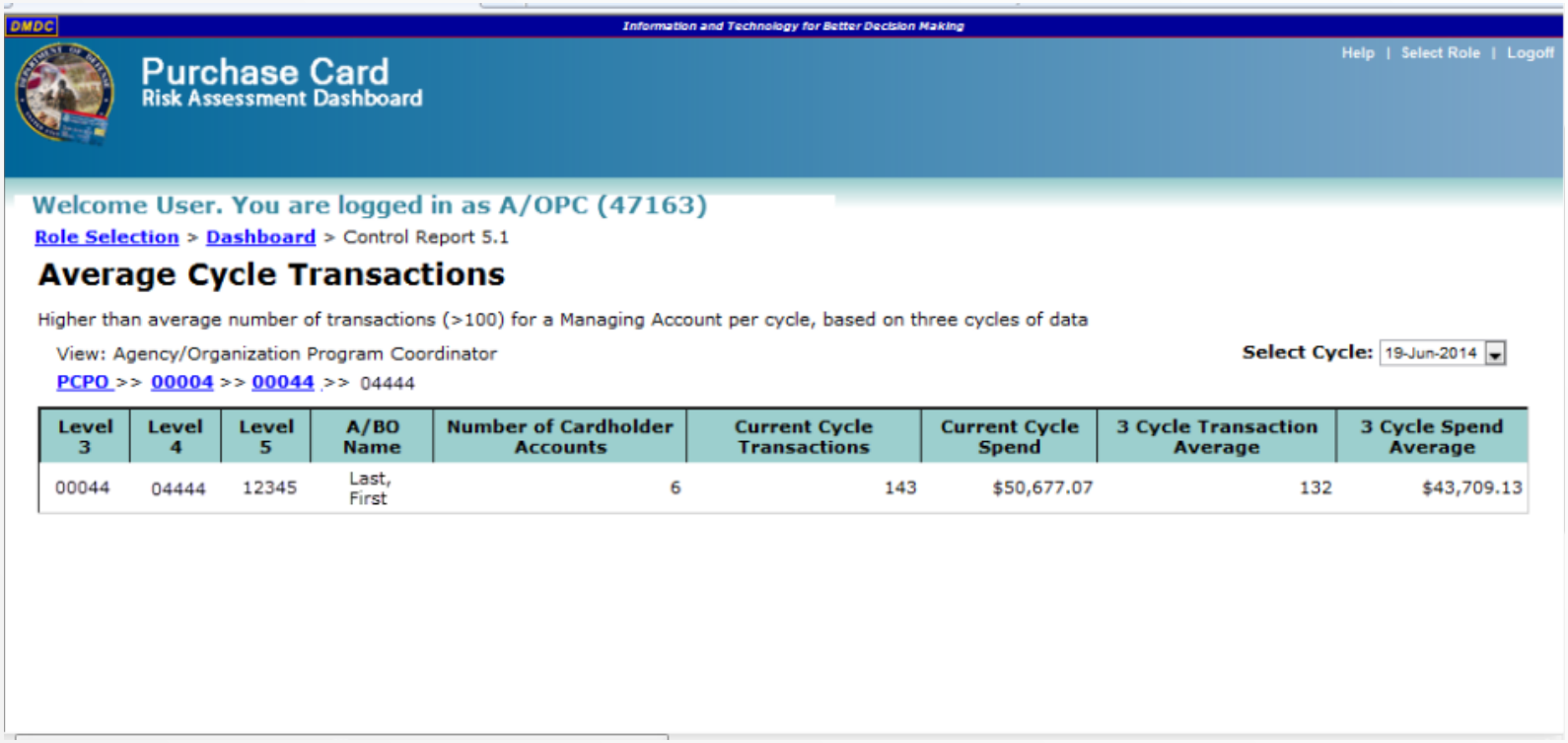
- Control 5.1: Average Cycle Transactions
- Control 5.2: A/BO Response Rate
- Control 5.3:A/OPC Response Rate
- Control 5.4: Flagged Transaction Determination
- Control 5.5 Convenience Check Amounts

5.1 Average Cycle Transactions

Category 5: Transaction Review Controls

Control 5.1: Average Cycle Transactions
Higher than average number of transactions (>100) for a Managing Account per cycle, based on three cycles of data

Scale: 0 / 1-2 / >2 Exceptions: 0



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Risk Assessment Dashboard

Help | Select Role | Logoff

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Role Selection > Dashboard > Control Report 5.1

Average Cycle Transactions

Higher than average number of transactions (>100) for a Managing Account per cycle, based on three cycles of data

View: Agency/Organization Program Coordinator

Select Cycle: 19-Jun-2014

PCPO >> 00004 >> 00044 >> 04444

Level 3	Level 4	Level 5	A/BO Name	Number of Cardholder Accounts	Current Cycle Transactions	Current Cycle Spend	3 Cycle Transaction Average	3 Cycle Spend Average
00044	04444	12345	Last, First	6	143	$50,677.07	132	$43,709.13

5.2 A/BO Response Rate

Control 5.2: A/BO Response Rate
A/BO failure to complete case review in Case Management for flagged transactions within 16 business days

Scale: 0 1 >1

Exceptions: 0

Welcome User. You are logged in as A/OPC(47163)

Role Selection > Dashboard > Control Report 5.2

A/BO Response Rate

A/BO failure to complete case review in Case Management for flagged transactions within 16 business days

View: High-Level Agency/Organization Program Coordinator

PCPO >> 00004 >> 00044 >> 04444

Select Cycle: 19-Jun-2014

Select Risk Level: All

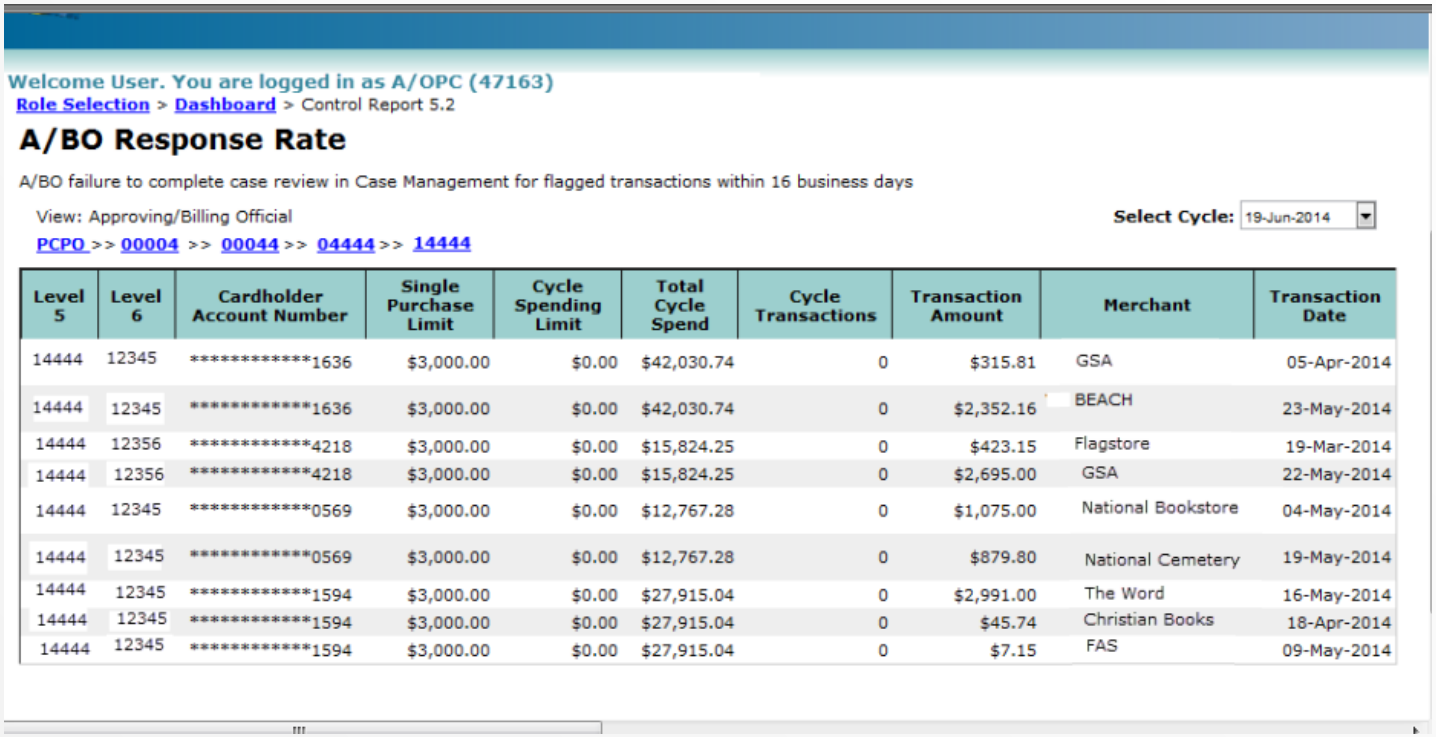
Risk Level(s) Displayed:

Level 4	Level 5	A/OPC Name	Number of Managing Accounts	Number of Cardholder Accounts	Total Transactions	Flagged Transactions	Flag %	Number of Exceptions
04444	14444		2	8	0	9	0%	9

5.2 A/BO Response Rate

Control 5.2: A/BO Response Rate
A/BO failure to complete case review in Case Management for flagged transactions within 16 business days

Scale: 0 / 1 / >1 Exceptions: 0



Welcome User. You are logged in as A/OPC (47163)
Role Selection > Dashboard > Control Report 5.2

A/BO Response Rate

A/BO failure to complete case review in Case Management for flagged transactions within 16 business days

View: Approving/Billing Official

Select Cycle: 19-Jun-2014

PCPO >> 00004 >> 00044 >> 04444 >> 14444

Level 5	Level 6	Cardholder Account Number	Single Purchase Limit	Cycle Spending Limit	Total Cycle Spend	Cycle Transactions	Transaction Amount	Merchant	Transaction Date
14444	12345	**********1636	$3,000.00	$0.00	$42,030.74	0	$315.81	GSA	05-Apr-2014
14444	12345	**********1636	$3,000.00	$0.00	$42,030.74	0	$2,352.16	BEACH	23-May-2014
14444	12356	**********4218	$3,000.00	$0.00	$15,824.25	0	$423.15	Flagstore	19-Mar-2014
14444	12356	**********4218	$3,000.00	$0.00	$15,824.25	0	$2,695.00	GSA	22-May-2014
14444	12345	**********0569	$3,000.00	$0.00	$12,767.28	0	$1,075.00	National Bookstore	04-May-2014
14444	12345	**********0569	$3,000.00	$0.00	$12,767.28	0	$879.80	National Cemetery	19-May-2014
14444	12345	**********1594	$3,000.00	$0.00	$27,915.04	0	$2,991.00	The Word	16-May-2014
14444	12345	**********1594	$3,000.00	$0.00	$27,915.04	0	$45.74	Christian Books	18-Apr-2014
14444	12345	**********1594	$3,000.00	$0.00	$27,915.04	0	$7.15	FAS	09-May-2014

5.3 A/OPC Response Rate

Control 5.3: A/OPC Response Rate

A/OPC failure to complete independent review in Case Management for High Risk transactions within 16 business days of A/BO completing initial review

Level 4 Risks 9 1 7

Welcome James Vincent Tew. You are logged in as Help Desk Manager (47163)

Role Selection > Dashboard > Control Report 5.3

A/OPC Response Rate

A/OPC failure to complete independent review in Case Management for High Risk transactions within 16 business days of A/BO completing initial review

View: Approving/Billing Official

Select Cycle: 19-Feb-2016

PCPO >> 00021 >> 00018 >> 01012

Level 4	Level 5	Cardholder Account Number	Single Purchase Limit	Cycle Spending Limit	Total Cycle Spend	Cycle Transactions	Transaction Amount	Merchant	Transaction Date	Case Close Date
01012	88006	**********0161	$3,000.00	$5,000.00	$60.76	1	$376.96	PARADISE LUA INC	10-Dec-2015	19-Dec-2015
01012	88022	**********1511	$3,000.00	$20,000.00	$2,815.00	7	$2,244.00	LA QUINTA INNS 4010	04-Oct-2015	26-Oct-2015
01012	88042	**********4391	$3,000.00	$0.00	$0.00	0	$2,924.10	HOME GYM CENTER	16-Oct-2015	21-Oct-2015
01012	88059	**********0762	$3,000.00	$0.00	$2,885.14	6	$2,890.00	IN *THE MONTEREY COMPANY,	16-Oct-2015	05-Nov-2015

5.3 A/OPC Response Rate

Control 5.3: A/OPC Response Rate

A/OPC failure to complete independent review in Case Management for High Risk transactions within 16 business days of A/BO completing initial review

Level 4 Risks 9 1 7

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Help | Select Role | Logoff

Purchase Card
Risk Assessment Dashboard

DM/RA Case Information

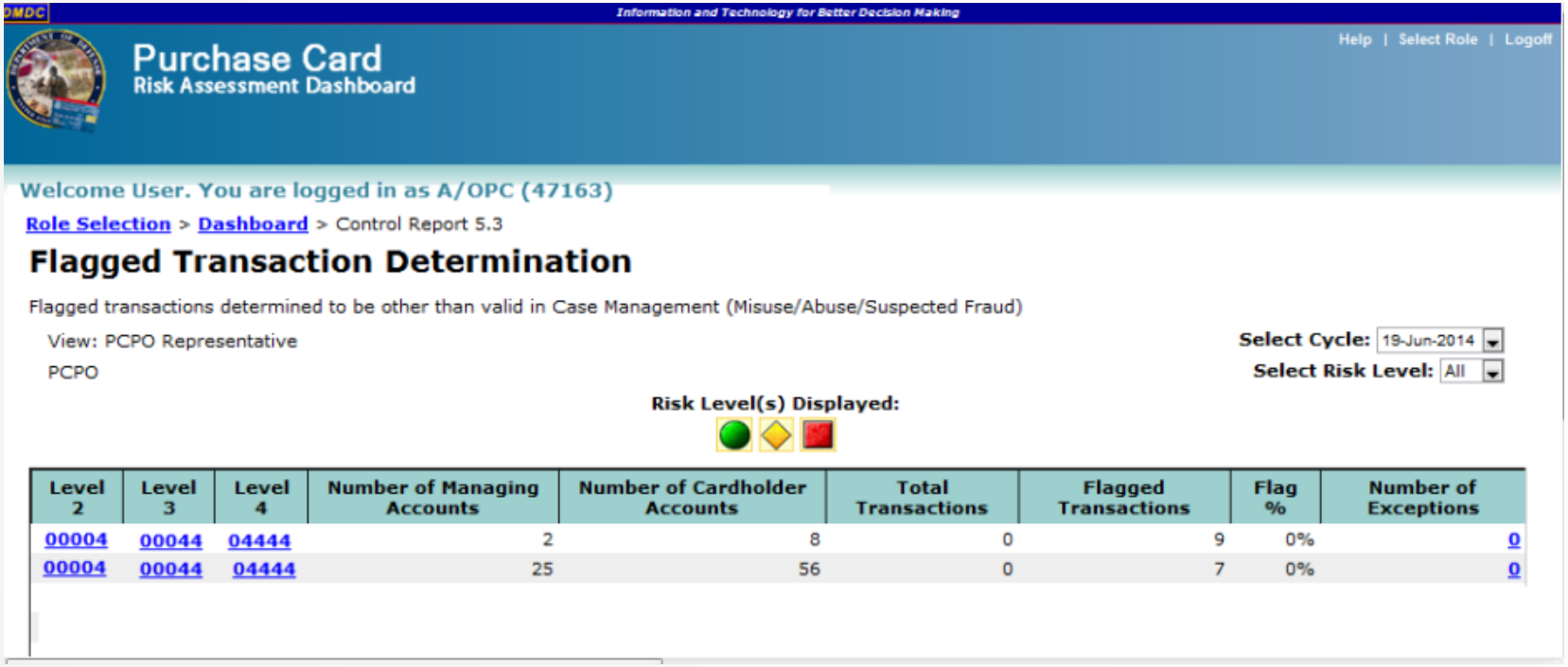
Cardholder Account Number	Cardholder Name	Managing Account Number	Primary A/BO Name	Case Number	Case Status	Case Reviewed By	A/BO Case Disposition	A/BO Review Date	Independent Review Status
**********0762	Michael Volk	**********4475	Eric Jarrett	1687988	Closed	Eric Jarrett	Valid Transaction		None

Return to Report

5.4 Flagged Transaction Determination

Control 5.4: Flagged Transaction Determination
Flagged transactions determined to be other than valid in Case Management (Misuse/Abuse/Suspected Fraud)

Level 4 Risks 15 2 0



Information and Technology for Better Decision Making

Purchase Card
Risk Assessment Dashboard

Help | Select Role | Logoff

Welcome User. You are logged in as A/OPC (47163)

Role Selection > Dashboard > Control Report 5.3

Flagged Transaction Determination

Flagged transactions determined to be other than valid in Case Management (Misuse/Abuse/Suspected Fraud)

View: PCPO Representative

PCPO

Select Cycle: 19-Jun-2014

Select Risk Level: All

Risk Level(s) Displayed:

Level 2	Level 3	Level 4	Number of Managing Accounts	Number of Cardholder Accounts	Total Transactions	Flagged Transactions	Flag %	Number of Exceptions
00004	00044	04444	2	8	0	9	0%	0
00004	00044	04444	25	56	0	7	0%	0

5.4 Flagged Transaction Determination

Control 5.4: Flagged Transaction Determination
Flagged transactions determined to be other than valid in Case Management (Misuse/Abuse/Suspected Fraud)

Level 4 Risks: 15 | 2 | 0

Purchase Card
Risk Assessment Dashboard

Help | Select Role | Logo

Role Selection > Dashboard > Control Report 5.3

Flagged Transaction Determination

Flagged transactions determined to be other than valid in Case Management (Misuse/Abuse/Suspected Fraud)

View: Approving/Billing Official

Select Cycle: 19-Jun-2014

PCPO >> 00004 >> 00044 >> 04444 >> 14444

Level 4	Level 5	Cardholder Account Number	Single Purchase Limit	Cycle Spending Limit	Total Cycle Spend	Cycle Transactions	Transaction Amount	Merchant	Transaction Date
04444	14444	**********6694	$3,000.00	$6,000.00	$608.90	1	$608.90	GSA	22-May-2014

5.5 Convenience Check Amounts

Control 5.5: Convenience Check Amounts
Accounts that have a Convenience Check transaction for more than $3,500

Level 4 Risks: 17 | 0 | 0

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Purchase Card
Risk Assessment Dashboard

Help | Select Role | Logoff

Welcome User. You are logged in as A/OPC (47163)
Role Selection > Dashboard > Control Report 5.4

Convenience Check Amounts

Accounts that have a Convenience Check transaction for more than $3,000

View: High-Level Agency/Organization Program Coordinator
PCPO >> 00004 >> 00044 >> 04444

Select Cycle: 19-Jun-2014
Select Risk Level: All

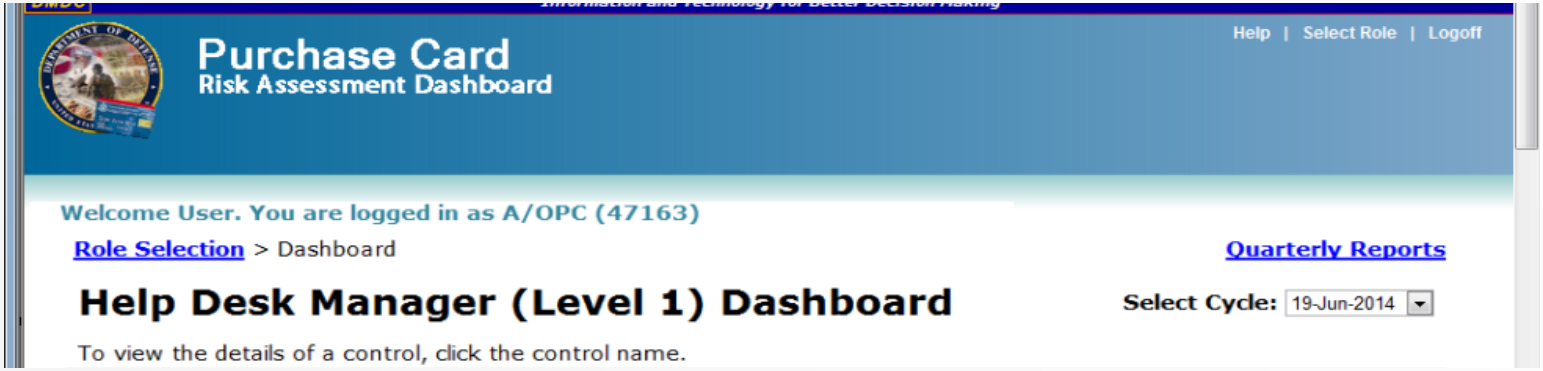
Risk Level(s) Displayed:

Level 4	Level 5	A/OPC Name	Number of Managing Accounts	Number of Cardholder Accounts	Total Number of Checks	Dollar Value of Checks over $3,000	Number of Exceptions
04444	68323		2	8	0		0

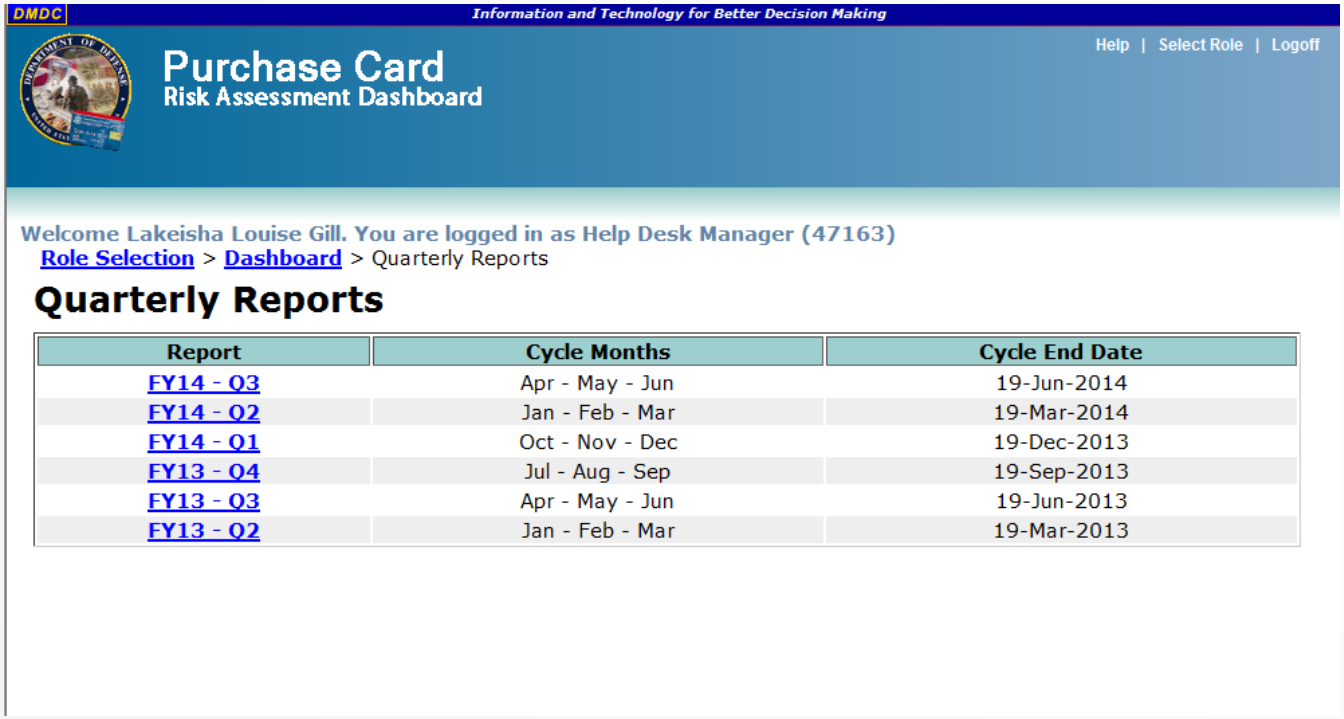
Quarterly Reports

- Provide a three-cycle side-by-side snapshot of the exceptions under each control.
- Enable users to analyze progress of their purchase card program to address identified risks for the current quarter based on exception counts for the previous quarter.
- Are broken down into the five control categories.
  - Each category is presented as a table and displays a column for each control in the category and exception counts for the three report billing cycles.

Quarterly Reports


Purchase Card
Risk Assessment Dashboard
Help | Select Role | Logoff
Welcome User. You are logged in as A/OPC (47163)
Role Selection > Dashboard
Quarterly Reports
Help Desk Manager (Level 1) Dashboard
Select Cycle: 19-Jun-2014
To view the details of a control, click the control name.

Quarterly Reports


DMDC
Information and Technology for Better Decision Making
Purchase Card
Risk Assessment Dashboard
Help | Select Role | Logoff
Welcome Lakeisha Louise Gill. You are logged in as Help Desk Manager (47163)
Role Selection > Dashboard > Quarterly Reports
Quarterly Reports
Report | Cycle Months | Cycle End Date
FY14 - Q3 | Apr - May - Jun | 19-Jun-2014
FY14 - Q2 | Jan - Feb - Mar | 19-Mar-2014
FY14 - Q1 | Oct - Nov - Dec | 19-Dec-2013
FY13 - Q4 | Jul - Aug - Sep | 19-Sep-2013
FY13 - Q3 | Apr - May - Jun | 19-Jun-2013
FY13 - Q2 | Jan - Feb - Mar | 19-Mar-2013

Quarterly Reports

1. Span of Control

1.1. Cardholder Accounts to Managing Accounts

Organization TBR	Number of Exceptions		
	Apr	May	Jun
00017	1	3	2
00021	39	34	37
00057	31	22	19
00097	5	4	3
Total	**76**	**63**	**61**

1.2. Accounts to A/OPC TBR

Organization TBR	Number of Exceptions		
	Apr	May	Jun
00017	0	0	0
00021	8	7	6
00057	62	60	60
00097	1	1	1
Total	**71**	**68**	**67**

Quarterly Reports

- Email Notification
  - Some users will receive an email notification at the end of the quarter when the report is available for viewing via a direct URL link to the Quarterly Report:
    - *Acquisition Executive Agent (Level 2)*
    - *HCA Agent (Level 3), and*
    - *A/OPC (Level 4).*

Purchase Card On-line System (PCOLS)

This concludes the PCOLS Continuous Learning Module for the Risk Assessment